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**RESEARCH REPORT IN PARTIAL FULFILLMENT OF REQUIREMENTS FOR
THE DEGREE OF MASTERS IN SUSTAINABLE URBAN PLANNING AND
DEVELOPMENT**

IN

THE FACULTY OF ENGINEERING AND THE BUILT ENVIRONMENT

DEPARTMENT OF TOWN AND REGIONAL PLANNING

Title:

*Investigating the outcome of the South African Government's attempt in transforming
human settlements from 1994-2014: A case of Johannesburg*

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DATE: 30 January 2020

DECLARATION

I Nonjabulo Philanersia Nkambule hereby declare that the minor dissertation submitted for the Master's in Sustainable Urban Planning and Development degree to the University of Johannesburg, apart from the help recognized, is my own work and has not previously been submitted to another university or institution of higher education for a degree.

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ABSTRACT

The housing challenge is a global challenge which mostly affect developing countries. In South Africa it can be blamed to the apartheid legacy, as it produced fragmented and unjust spatial patterns that kept poor people of colour on the edges of cities/urban areas. This resulted to an increased need for housing in well located areas, when South Africa entered into democracy in 1994. This study is important in the sense that it provides the progress made in terms of how human settlements have transformed from 1994 (a period where government was concerned with rolling out houses) to 2014 (a year which marks five years after the shift from housing to human settlements) and beyond, and it also identifies the causes of housing backlog and the challenges faced by the Department of Human Settlements. The aim of the study is to investigate how human settlements have transformed in the City of Johannesburg Metropolitan Municipality from 1994 to 2014. A qualitative research approach was applied, and qualitative methods of collecting data were utilised to gather information. The study discovered that the City of Johannesburg has a wide range of housing programmes and policies/framework in place which have a common aim of combating housing backlog and creating integrated and sustainable human settlements, which includes amongst other Upgrading of Informal Settlements Programme (UISP), and Inclusionary Housing Policy respectively. It recommends that future studies in the housing or human settlements field in South Africa focus on formulating mechanisms that can be used by the government to raise funds in order to eradicate housing backlog, as well as looking at ways the government can use to fast track spatial transformation.

Key words: Housing, Human Settlements, City of Johannesburg, Transformation, Policies Review.

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ABBREVIATIONS AND ACRONYMS

ANC- African National Congress

BNG- Breaking New Ground

BRT – Bus Rapid Transit

CoJ- City of Johannesburg

COF- Corridors of Freedom

DHS- Department of Human Settlements

FLISP- Finance Linked Individual Subsidy Programme

MDGs- Millennium Development Goals

NDHS- National Department of Human Settlements

NDP- National Development Plan

NHFC – National Housing Finance Corporation

PHDAs- Priority Housing Development Areas

PHP- People’s Housing Process

RDP- Reconstruction and Development Programme

SDGs- Sustainable Development Goals

SDF- Spatial Development Framework

SHI – Social Housing Institutions

SHSUP – Sustainable Human Settlements Upgrading Plan

SPLUMA – Spatial Planning and Land Use Management Act

UISP- Upgrading of Informal Settlements

UN- United Nations.

Chapter 1: INTRODUCTION AND BACKGROUND

1. Introduction

The housing challenge is a global issue which affects mostly developing countries, with South Africa (SA) being one of those countries. It is the result of growing urban population and urbanisation. It dates back to the 1960s and 1970s before the first Habitat summit took place, (Morris, 2016). This rapid and unplanned urbanisation saw the development of informal settlements around the world, and a global attempt to resolve this challenge was then made through habitat conferences that aimed at improving human settlements, according to (Nassar and Elsayed, 2017). In SA, housing provision has been the biggest challenge since 1994. This becomes evident in the growth of informal dwellings, the housing backlog in 1994 was said to be about 1.5 million houses, with a growth rate of 178 000 units a year, (DoH 1994; Wilkonso, 2014). The year 2011, saw an increase of about 1.9 million in informal dwellings from 1.4 million informal dwellings in 1996, (Census, 2011). According to the (FFC, 2013) over 3 million fully subsidised houses were provided during the period 1994-2013 and despite an increase in budget allocated to human settlements, the housing backlog in 2013 still remained similar to that of 1994, due to housing demand exceeding the available resources to supply, (Tissington & Duguard, 2013). The aim of this study is to investigate the progress of Government in delivering and transforming human settlements. Human settlements are defined as an organised grouping of human habitat, they range from conurbation, mega cities, urban areas, rural areas etc., (Crawford & Rahman, 2018).

1.1 Preliminary Literature Study

Marutlule (2017), states that in South Africa there is heavy reliance on the government for housing provision, this is mainly due to it being named as a basic right for all, and the existence of frameworks such as the Freedom Charter of South Africa which states that there shall be houses for all. The South African Constitution, (1996) in Chapter 26 states that “*everyone has the right to have access to adequate housing and the government must provide within its available resources*”, (South African Human Rights Commission, n.d, pg 2).

1.1.1 Definition of adequate housing

When the government’s programme known as the Reconstruction and Development Programme (RDP) of providing houses first started, the houses provided were not adequate

and were too small in size. This led the government to develop a definition of what adequate housing means. Adequate housing is defined by Tissington (2010: 28), as “*a safe and secure place to live in, it is more than just providing adequate shelter, but involves: adequacy of location (i.e. proximity to schools, clinics, economic opportunities, transport and other social infrastructure), adequacy of shelter (in relation to building standards regulations, health and safety, etc.), affordability (in terms of upfront and ongoing costs), adequacy of service delivery (water, sanitation, energy supply etc.), adequacy of space, physical security, and security of tenure*”.

1.1.2 The history of housing need

Housing need according to Obioho (2019), is defined as the need for housing by homeless people, or people residing in overcrowded houses which are in poor conditions, and people who do not have a permanent shelter to live in. The need for housing is an old problem, it emanated as a result of growing urban population and urbanisation around the world, (Nassar and Elsayed, 2017). Large populations moved from rural to city areas in search for higher employment possibilities and quality of life, only to find themselves with no place to rest their heads. As a result, they started developing shacks in pieces of land that were vacant, which at a later stage became informal settlements. The United Nations (UN) saw a need to control and to solve the challenges posed by informal settlements and organised the world's first convention on human settlements (Habitat 1) which took place in Quito in 1976, (McGarry, 2017).

At the time the conference took place, the world's population was four billion. Twenty (20) years after Habitat 1 took place, another conference known as Habitat 2 took place, the world's population that time was approaching six billion, states (Morris, 2016). The population was forecasted to be over 7.4 billion in 2016 the year in which Habitat 3 took place. Morris (2017), notes that the main aim behind these conferences was to resolve the global challenges posed by population growth and rapid urbanisation, and to attain the goal of creating desired human settlements.

SACN (2016), states that in South Africa, when the democratic government took over from the government of apartheid in 1994 it inherited a spatially fragmented, unaccountable and racially divided governance system that had housing challenges. According to Moolla and Block (2011), these housing challenges includes a lack of adequate housing, poorly constructed housing without access to basic services (such as water, electricity, sanitation and roads), and

shortage of housing. Housing in the country is a right contained in the Constitution of the Republic of South Africa, translated from the Freedom Charter of the African National Congress (ANC).

1.1.3 Causes of the housing challenge

(Marutlulle, 2017), states that globally the housing shortage occurs due to the number of households or total population exceeding the number of available dwelling units, and factors such as population growth (due to natural growth, challenges

migration), unavailability of land, government economic policies and administrative issues.

In SA during the era of apartheid, suburbs were built in such a way that the whites were separated from the blacks by making use of buffer zones, to mark boundaries, (duPlessis and Landman, 2002). Black people were kept on the peripheries of the city without any access to the infrastructure of the city and its economic opportunities. This act led to the development of racially segregated, dispersed, fragmented and a low-density development city, that is seen today, (Khan, 2014). According to (Harrison, et al., 2003), fragmentation of cities persisted years after the end of oppression by the previous government, and forms of segregation continued to emerge in the setting of globalisation and environmental policy of neo-liberal.

(Marutlulle, 2017), asserts that the apartheid legacy is not the only cause of the housing backlog challenge but also pro-market policies that were inherited by the government post 1994, which added to the rising numbers of informal settlements. He adds that these policies aimed to decrease inflation and the spending of government to less than 4% of the Gross Domestic Product (GDP) and therefore lead to limitation on budget meant for the government to spend on social needs such as housing and other services. The housing backlog was then elevated by challenges within the systems of providing housing, and in turn worsened housing inequalities.

To redress the apartheid government's imbalances, the democratic government used housing as a mechanism to provide an equal chance to citizens at creating sustainable livelihoods. Irurah and Boshoff (2014), states that although the government is trying to resolve the housing challenge, housing in South Africa is still associated with poorly constructed houses, location of houses on the city outskirts, under serviced housing, and the lack of amenities.

1.1.4 South Africa's housing policy

After realising the enormous housing backlog challenge, the democratic government tried to control and to contain the issue, in an attempt to prevent further perpetuation by introducing policies and programs such as the RDP, the Growth, Employment and Redistribution Strategy (GEAR), Breaking New Ground (BNG), the White Paper on Housing, and by making provisions for housing in the South African Constitution, (SACN, 2014). According to Reitzes (2009), the RDP was implemented from 1994-1996 as the backbone of the policy of government. In 1996 it was replaced by the GEAR policy which focused mostly on economic growth, according to (Moolla and Block, 2011).

These policies had more or less the same objectives, collectively the policies aimed at alleviating poverty, creating sustainable livelihoods for all citizens, promoting economic growth and providing adequate housing, (SACN, 2014). A National Development Plan (NDP) was also developed in 2012 and set the following objectives in relation to transforming human settlements: to have all informal settlements upgraded by 2030 on land that is well located and suitable, to move people closer to their workplaces, to provide better quality transport, and to provide more employment opportunities closer to urban dense townships, (NPC, 2012)

1.2 Research Questions

- 1.2.1 What is the root cause of housing backlog in the City of Johannesburg?
- 1.2.2 Why did the government of South Africa move from housing to integrated human settlements?
- 1.2.3 What methods are used to transform human settlements in the City of Johannesburg?
- 1.2.4 How has human settlements evolved in the City of Johannesburg from 1994-2014?

1.3 Aim of the research

The study seeks to investigate how human settlements have transformed in the City of Johannesburg Metropolitan Municipality.

1.4 Research Objectives

- 1.4.1 To find out the causes of housing backlog in the City of Johannesburg.

- 1.4.2 To find out the reasons behind the change of policies/programmes from housing to human settlements by the South African government.
- 1.4.3 To investigate which methods are used to transform human settlements in the City of Johannesburg.
- 1.4.4 To investigate how human settlements have transformed and evolved in City of Johannesburg from 1994 to 2014.

1.5 Study Area

The selected study area is the City of Johannesburg (CoJ), a city located in north-central SA falling under the Gauteng Province, as seen in Figure 1 below. Pieterse and Owens, (2018), assert that Johannesburg is the largest city in South Africa and a major contributor to the GDP of the country, it is the capital city of the country's mining and commerce. According to StatsSA (2011), the city covers a land area of 334.81 km². It contributes 5.05 million people to Gauteng's fastest growing population, (CoJ, 2018), the number of people who migrate into the city per month is said to be 3000 people. Johannesburg was built on the history of racial division known as apartheid, whereby the black population was kept in the southern parts of the city in townships that have characteristics such as a shortage of adequate housing and economic opportunities, (Khan, 2014) whereas the white population lived in posh mansions of the northern suburbs.

As a result of the apartheid legacy, Johannesburg is today faced with challenges regarding its spatial landscape, namely: the green infrastructure and the natural environment is put under pressure because of urban activities that have a negative impact on it, sprawling urban development and fragmentation, spatial injustices and location of the urban poor far away from jobs, exclusion and disconnected development emerging from the fact that there are portions of high potential areas that are not used to their full potential, gated development, street networks that are not connected, and a lack of efficient residential densities and diversity in land, (CoJ, 2016b).

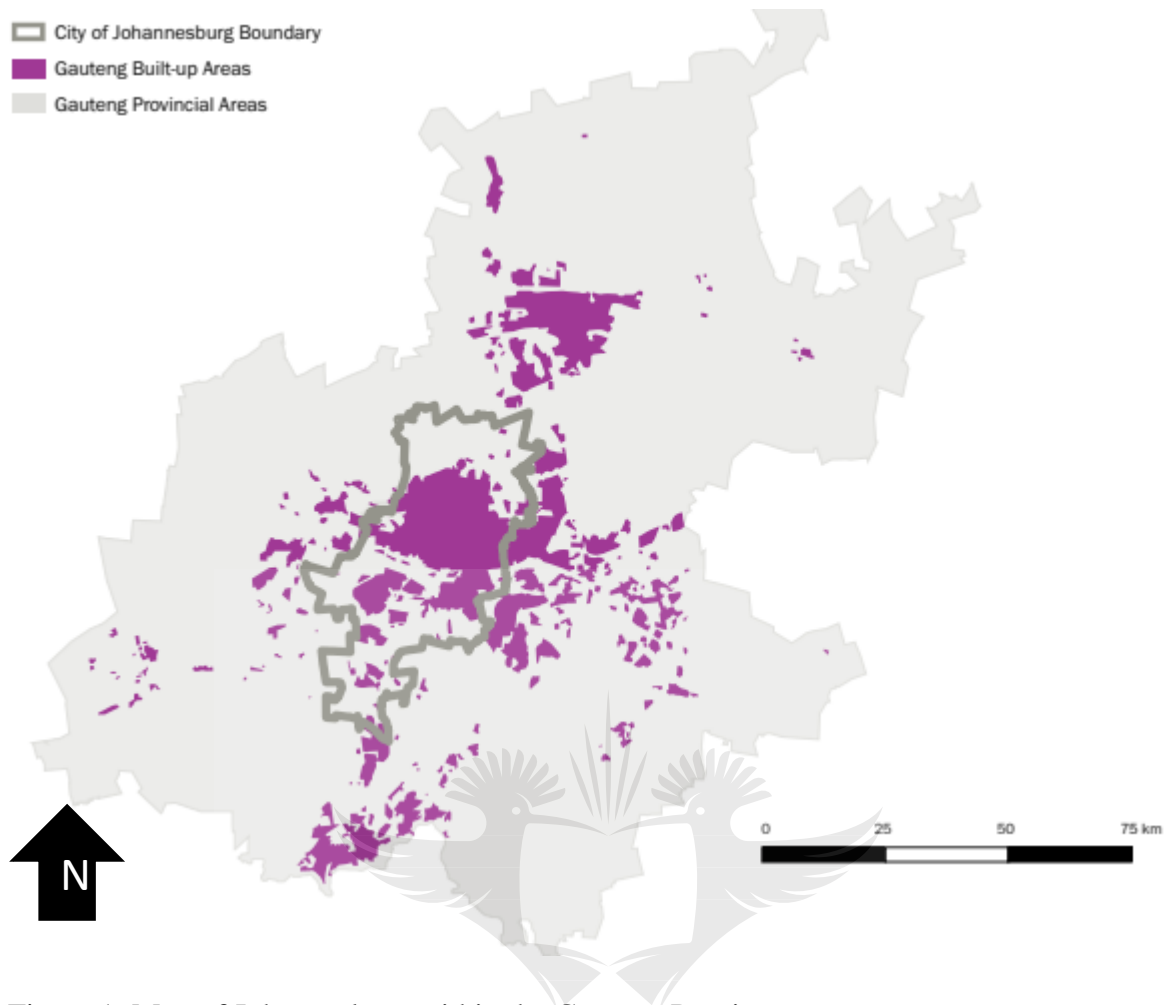


Figure 1: Map of Johannesburg within the Gauteng Province
Source: Pieterse and Owens, 2018.

1.6 Research Design

Research design describes the kind of study undertaken to answer the research question. It is a plan/blueprint that depicts how the research is carried out. Therefore, this study undertook the literature review design approach to answer research questions.

1.7 Research Methodology

The study uses qualitative research methods to collect and analyse data. Wentz (c2014), defines qualitative research as subjective research where meaning, experiences and descriptions are stressed. As one of the data collection methods, the study involved conduction of interviews to obtain in-depth information in respondent's own words and experiences on the evolution of human settlements in the City of Johannesburg. The study also reviewed government policy and legislation, and scholarly publications on the human settlements subject. Interviews were conducted with government officials involved in housing delivery/human settlements

developments as they are at the front line of delivery and development, Gauteng Department of Human Settlements (GDHS) officials also involved in the delivery of housing and the development of human settlements, and CoJ residents.

1.8 Chapter Outline.

Chapter 1: Introduction and Background

This chapter introduces the topic studied. It also identifies the research problem, research aim and objectives, describes the design approach followed, and the research methodology that is employed.

Chapter 2: Literature Review

This chapter studies previous work done by different scholars on the human settlements topic/field. The aim is to find out what has been done, what still needs to be done and to identify what has not been covered. Using the words of Mouton (2014), it also aims to determine commonalities in the way different scholars define the field's key concepts.

Chapter 3: Research Methodology

According to Ingwenagu (2016), research methodology is based on the process of research and the types of data collection methods undertaken. This study undertook qualitative research method and employed qualitative data collection methods such as interviews and desktop research.

Chapter 4: Findings and Data Analysis

This chapter analyses the research findings collected from the mentioned information sources that include government policy, government officials and scholarly publications on human settlements. The study used the content analysis method to analyse the research findings.

Chapter 5: Summary, Recommendations and Conclusion

This is the last chapter of the study. It provides a summary of the work that has been covered by the study and also provide recommendations of what other scholars who are interested in the topic/field can research about.

1.9 Conclusion

To close, this chapter has provided an outline of how the research unfolds. It provided a brief history of the housing need, identified the research problem as the persistence of the housing backlog despite attempts made to eradicate it, it identified research questions, as well as the research objectives which includes amongst other to find out the causes of the housing backlog in CoJ. It provided a brief literature around the housing and human settlements topic, and also stated the research design and methodology.



Chapter 2: Literature Review

This chapter reviews scholarly articles on housing and human settlements. It aims to understand how housing provision in SA came about, why housing is so important and the challenges associated with housing delivery. It also seeks to understand how integrated and sustainable human settlements are defined, the envisioned human settlements for SA, South African housing policy and the challenges faced by the department accountable for human settlements' development which is the Department of Human Settlements (DHS). This chapter is relevant because it identifies to some extent the existing knowledge within the housing field, and gaps within such knowledge.

2. Introduction

Urbanisation and migration contribute the most in the ever-increasing housing shortage, that is mostly experienced by developing countries. Lombard (1996), writes that rapid urbanisation first took place in the 1950s and 1960s, a period that saw burgeoning informal settlements, which was deemed as the only housing option by immigrants. In SA the existing housing backlog can be blamed to the government of apartheid which intentionally kept black people in rural areas and in the peripheries of urban areas, (Maina, 2013). When South Africa entered into democracy in 1994, people moved in numbers from rural areas across all provinces into cities to look for employment opportunities, (duPlessis and Landman, 2002). Marutlule (2017), states that the state made efforts to provide housing to them within its means, but the demand was too high and exceeded the resources that were available at the time to provide houses for all people. The people ended up building shacks in order to have a place to rest their heads.

2.1 How did housing provision come about in South Africa?

This section discusses how SA arrived to housing provision looking at three periods: colonization, post-colonization planning and the apartheid era.

2.1.2 Colonial and Post-colonial planning (Global South Planning)

The provision of housing in South Africa came after many years of struggles particularly faced by black people. When discussing housing theory, it is important to begin by locating it within the Global South's housing theory and practice, according to (McGurry, 2018). McGurry suggests that the Global South planning is post-colonial planning. The Global South according to Santos (2007), constitutes of countries such as Latin America, Asia and Africa, he writes

about an abyssal line that was created by past spatial planning (colonization) which resulted to the existence of a barrier between the rich and the poor. The abyssal line constitutes of this side of the line and the other side of the line, when relating it to past planning in South Africa this side of the line constitutes of white people's suburbs that are characterized by proper infrastructure, basic services, efficient transport infrastructure etc. That side of the line constitutes of overcrowded black people's townships that are located on city edges and are characterized by inadequate housing, poor service delivery and poor infrastructure such as unreliable transport.

According to the SACN (2018), colonial planning managed to segregate people into three classes: the rich white colonial, the colonized middle class working in the bureaucracy made up of Indians and some African people, and the urban majority black population. McGurry (2018) notes that the Global South's urban planning was dependent on colonial planning, the development of housing in this post-colonial times continued with the approaches to housing development that were used in colonial times, known as Global North Planning. Both colonization and post-colonization planning was based on the oppression and exclusion of poor blacks from the opportunities of cities. During colonization land was expropriated from black people by colonizers, they were turned into slaves in their own land, provided free labour to their masters who made them work in farms, and were accommodated in those farms, according to (Fanon, 1961).

McGurry provides three broad phases of housing policy and development. These are as follows: phase 1: 1950 – 1960s where public housing was provided and slums were cleared; 1970 – 1980s where sites were rolled out and services were provided; and the 1980s – 1990s which was a period of an enabling approach that only provided land and basic services but no housing.

2.1.2 Apartheid era

Most scholar such as Khan (2014); duPlessis and Landman, (2002), trace back the need for housing provision to the oppression that was faced by black people in the hands of the apartheid government. When the democratic government took over South Africa in 1994, it saw a need to provide houses for those who were oppressed by the apartheid government (mainly poor black people) and were kept on the edges of cities (in townships) with no services and economic opportunities, (Khan, 2014). The apartheid city constituted of suburbs that were racially segregated and separated by buffer zones. These cities were characterized by urban sprawl,

decreasing density from the inner city, and division of race, according to (duPlessis and Landman, 2002). Minor provision of housing was done for black people under apartheid, which resulted to overcrowded townships and the increase in the number of backyard dwellers, (South African Human Rights Commission, n.d). The decision and agreement to provide free houses to the poor, post-apartheid was reached after intense engagements on the discussion of whether the government should provide houses or people should provide for their own housing.

Moolla and Block (2011), notes that once an agreement was reached the government then tried to resolve the housing crises directly by providing subsidized housing for households earning low incomes (R0 – R3 500 per household per month), known as the RDP (housing for ownership). From 1994 to 2006 two million RDP units were delivered by the government as well as less than 35 000 rental/social housing units, (Rust 2006). Both these housing types were delivered through housing subsidies, after the 1994 White Paper on Housing was established.

Du Plessis and Landman (2002), notes that the White Paper on Housing of 1994 aimed at mobilizing housing finance to ensure housing loans are granted to those who earn low incomes (this resulted to the established of the National Housing Finance Corporation (NHFC) and the Rural Housing Loan Fund (RHLF) which are both Social Housing Institutions (SHIs)), stabilizing the housing environment by encouraging banks to lend money to down-market for the purpose of building their own housing. Rust (2006), states that in 1994, there was an estimate of 86% households who earned below R3 500 per month, which meant they could not afford to purchase or build their own houses, this then posed a challenge to the then Department of Housing (DoH).

2.2 The importance of housing

According to the CoJ (2018), housing is crucial in assisting with social advancement: ‘houses are not only places to stay but goes beyond being just a shelter. Housing is also important in reducing poverty and can be utilized as a job creation strategy. According to the UN Habitat (2009), housing is a need and a basic human right that is considered to be an effective indicator of how poverty is eradicated in any country. Using the words of Khan (2014) in South Africa, housing is used by the government as a mechanism to provide an equal chance for citizens to create sustainable livelihoods. Manomano and Tanga (2018), are of the opinion that housing makes people feel that they belong in a given area, gives them ownership, identity, citizenship, a sense of self-sufficiency, and promotes social development.

2.3 Housing delivery challenges

Since 1994 the total number of houses delivered in South Africa is beyond 3 million, (Khan, 2014). Despite the progress that has been made in terms of delivery, challenges concerning the delivery of houses still prevails. These challenges amongst other include the following as stated by (Manomano et.al, 2016; The Fuller Center for Housing, n.d):

- a) circular migration and households with multiple homes,
- b) vague policy of home-based income generation,
- c) delays in issuing title deeds and restrictions on the sale of subsidized houses,
- d) private investment within the market's lower end: houses for people earning more than the subsidized housing threshold but who do not have access to a private bond,
- e) not enough incentive for investment and insufficient public capacity to manage rental stock,
- f) the focus is on housing as opposed to creating environments of high quality for communities falling within the low-income bracket,
- g) growing backlogs in areas of migration and a municipal focus on ownership units rather than affordable inner-city housing.

Fortunately, these challenges can be addressed for example by firstly ensuring a balance in property rights of the vulnerable against the protection of government investment. Secondly, by allowing the private sector and individual households to decide on their roles in housing provision. Lastly, by looking at other possible solutions the relevant stakeholders may have.

2.4 Integrated and sustainable human settlements

The SACN (2014), states that housing delivery in South Africa has been evolving since 1994, this evolution saw a shift by the government from being the Department of Housing to becoming the Department of Human Settlements in 2009. The shift was mainly due to beneficiaries being not satisfied with houses provided to them and that housing delivery was still new since it was not part of the apartheid governance, (FFC, 2013). Today, the government is focused on creating integrated and sustainable human settlements following the introduction of the BNG in 2004 (a framework that is concerned about creating integrated and sustainable human settlements).

Tramontin and Qwabe (2017), points out that the creation of integrated and sustainable human settlements is not only done in alignment with the BNG in South Africa but also with

international treaties such as the United Nations (UN) conventions on human settlements, especially its Sustainable Development Goals (SDGs) that were established in 2015. Goal 11 of the SDGs is the most important one where integrated and sustainable human settlements are concerned. It is about “*making cities and human settlements inclusive, safe, resilient and sustainable*”, (United Nations, n.d).

2.4.1 Human Settlements

Human settlements are groupings of houses where people live, work and play. The Declaration of Vancouver on Human Settlements of 1976 states that human settlements “*imply the totality of the human community, whether city, town or village with all the social, material, organizational, spiritual, and cultural elements that sustain it*”, (Ackerman, 2016:16). Monto et.al (2005), writes that human settlements are about a society residing at a particular location, and constitutes the natural environment, which is modified according to the desires of people to accommodate their lifestyles.

2.4.2 Integrated and sustainable human settlements

Sustainable human settlements on one hand are defined in the BNG as “*well managed entities in which economic growth and social development are in balance with the carrying capacity of the natural systems on which they depend for their existence and result in sustainable development, wealth creation, poverty alleviation and equity*”, (DHS, 2004:17). These types of settlements are concerned with the delivery of improved living standards within the provided houses taking into consideration economic, social and environmental needs. It is also comprised of a process which deals with issues of lack of health care facilities, safety and transportation. Integrated human settlements should demonstrate: appropriate settlements typology, mixed use environments, diversity and choice in housing options, (DHS, 2014).

Khan (2014), asserts that sustainable human settlements are developments that are in harmony with the natural systems on which they rely for resources. They satisfy the present residents’ needs without impacting badly on the ability of future generations to satisfy their own needs, (Mensah and Casadevall, 2019). According to duPlessis and Landman (2002), the sustainability component in integrated and sustainable human settlements implies that the growth of the economy and social development within the settlements must be within the carrying capacity of natural systems; that the basic services and infrastructure provided must be reliable, and efficient public transport must be available nearby the houses as well as social

amenities like health care, education, recreation and libraries. Integration on the other hand implies bringing together different income groups and races into one community, (Rai, 2012).

2.4.3 South Africa's vision for human settlements

The NDP vision 2040 specifically deals with human settlements in Chapter 8, the chapter is entitled “transforming *human settlements and the national space economy*”. Its vision is to transform human settlements into equitable and efficient spaces so as to enable citizens to live nearby their work place and all necessary infrastructure and social facilities, (NPC, 2012). The desired structure of human settlements consists of the following: compact design; integrated network of walkable streets (with cycling and driving components); social facilities (schools, health, Early Childhood Development (ECD) centres, community centres, Information and Communication Technology (ICT) access hubs etc.); a variety of transportation choices and the accompanying infrastructure; economic amenities (formal and informal depending on the community); public spaces and special sites; infrastructure developed using green and smart technologies; consideration in design and management for safety and security; and urban greening and agriculture, (Republic of South Africa, 2013).

duPlessis and Landman (2002), assert that during the apartheid era a problematic spatial pattern was produced, which saw sprawling developments from the core of the cities of the country towards their edges, leading to reliance on private transport by those who commute to work and convenience areas. One of the NDP's aims is to have the spatial pattern of apartheid broken down through retrofitting of existing settlements in order to enable the citizens of SA to access affordable housing and services in living environments that are improved. The NPC (2012) lists the following goals of the NDP:

By 2030:

- a) Achieve a spatial planning system that is efficient, strong and integrated among all tiers of government,
- b) Upgrade all informal settlements and ensure they are located on suitable and well located land,
- c) Ensure that majority of the people reside nearby their work place,
- d) Provide quality public transport, and
- e) Ensure there are more employment opportunities closer to urban townships that are dense.

This vision is broken down into provincial and local municipalities' frameworks such as the Integrated Development Plan (IDP) and Spatial Development Frameworks (SDFs) for implementation purposes. The NPC (2012), identifies the following as actions that are required to achieve the set vision and goals as stated above:

- a) The present system of planning needs to be modified for improved coordination,
- b) There is a need to establish a densification of cities' strategy that will achieve the realization of well-located human settlements,
- c) Affordable and reliable public transport needs to be attained,
- d) Introduce SDFs and norms, and strike a balance between jobs and the location of people,
- e) Review the regime of housing grants and subsidies,
- f) Establish a national spatial restructuring fund, and integrate currently defused funding,
- g) Establish for spatial data and analysis, a national observatory,
- h) Incentivise the activity of citizens in local planning and the development of spatial compacts, and
- i) Ensure effective functioning of land markets by introducing methods that would support livelihoods for rural and urban areas and ensure land markets are effective for the poor.

A Medium Term Strategic Framework (MTSF) for the period 2014 to 2019 was developed. Fortunately, the framework came to its end of implementation last year (2019) and a lot has been achieved through it. The framework was developed after Outcome 8 of 2010 which was based on "*the delivery of sustainable human settlements and improved quality of household life*", (Annexure A, pg1; FFC, 2013). The MTSF identified the following sub-outcomes to achieve outcome 8, (Republic of South Africa, 2014):

- a) Provision of houses that are adequate and to improve living environments' quality,
- b) A functionally equitable residential property market, and
- c) Enhanced institutional capability for effective coordination of spatial investment decisions.

2.4.3.1 South African housing policies

Since 1994 housing policy has been evolving in SA, this evolution includes the establishment of new policies and in some cases amendment of already existing policies, (Ackerman, 2016). Some of the South African housing policies and frameworks are discussed below.

2.4.3.1.1 The Constitution of the Republic of South Africa (Act 108 of 1996)

The Constitution of the Republic of South Africa makes provisions for housing in section 26. The provisions are as follows, (South African Human Rights Commission, n.d, pg 2):

“26. (1) Everyone has the right to have access to adequate housing.

(2) The state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of this right.

(3) No one may be evicted from their home, or have their home demolished, without an order of court made after considering all the relevant circumstances. No legislation may permit arbitrary eviction”.

2.4.3.1.2 Housing Act (Act No. 107 of 1997)

Tissington (2011:14) asserts that this act is the primary piece of SA’s housing legislature. It identifies the roles that have to be played by the three tiers of government which are as follows:

- a) **National government:** is responsible for the facilitation and establishment of a sustainable process of housing development and the formulation of housing policy. It is also responsible for monitoring implementation through the promulgation of the National Housing Code.
- b) **Provincial government:** is responsible for housing administration in the form of allocating housing subsidies to local authorities and to facilitate housing provision, (Republic of South Africa, 1997).
- c) **Local government:** is responsible for realizing the right to housing and pursuing housing development by providing infrastructure and other basic services.

2.4.3.1.3 Spatial Planning and Land Use Management Act (SPLUMA) (Act 16 of 2013)

SPLUMA (2013), provides five principles related to spatial transformation, which are as follows:

- a) **Spatial justice:** aims to address the historical spatial imbalances by improving access to land, and land use.

- b) **Spatial sustainability:** is concerned with promoting the development of land that is within fiscal, institutional and administrative means of the Republic and ensuring that land that is prime and agricultural is protected
- c) **Efficiency:** whereby the development of land makes use of already existing infrastructure and resources.
- d) **Spatial resilience:** is concerned with ensuring sustainable livelihoods in societies who are at risk to bear the negative effects of economic and environmental shocks, by ensuring that spatial plans, policies and the systems of managing land use are flexible and accommodative.
- e) **Good administration:** is about an integrated approach to the development and use of land, guided by the SPLUMA system.

2.4.3.1.4 National Development Plan (NDP) 2030

The NPC (2012), states that where we live and work matters, as it determines our physical and social well-being, gives use access to benefits and enables us to participate in the economy. It adds that the spatial pattern of segregation which is a legacy of apartheid needs to be reshaped although it is already deeply entrenched. The NDP further proposes a strategy for living and working environments that are healthy and sustainable. The strategy is steered by the need to:

- a) Systematically respond to the dispersed patterns of space across all geographic scales that worsen inequalities (social and economic),
- b) Achieve the transformation of space through the implementation of strategic catalytic interventions, and
- c) Achieve a creative balance between spatial equity, economic competitiveness and environmental sustainability.

The NDP aims to have transformed human settlements by 2030.

2.4.3.1.5 Sustainable Human Settlements Urbanization Plan, 2012

The Sustainable Human Settlements Urbanisation Plan (SHSUP) is specifically for the CoJ, according to SACN (2014) it was developed to: a) reflect on current and future demand and growth in terms of urbanisation trends and projections; b) demonstrate and propose solutions to the current dysfunctional spatial form; and c) direct existing and future resources towards making fundamental changes to achieve the objectives and aspects associate with sustainable human settlements. The aim of the SHSUP is to develop a paradigm for future development

with regards to the provision of accommodation within the CoJ from 2012 – 2030 and beyond, (SHSUP, 2012: 1).

This paradigm was formulated in line with the city’s Growth and Development Strategy (GDS) and is based on the following principles:

- a) securing and developing locations that support the objectives of the SDF;
- b) diversifying accommodation and delivery options (i.e. by developers);
- c) aligning the development of accommodation concurrently with social/physical infrastructure; and
- d) realising a 1:1 ratio in respect of “give-away” versus “rental” stock.

The SHSUP states that the concept of sustainable human settlements is associated with economic growth, human development and environmental protection, it is also associated with appropriate, secure and serviced shelter for citizens, and describes integrated housing developments as well situated housing near socio-economic opportunities such as jobs, transportation facilities and social amenities, (SACN, 2014).

2.4.3.1.6 Inclusionary Housing Policy

A South African Framework for an Inclusionary Housing Policy was developed in 2007, as stated by Gopal (2017), this policy was primarily developed to promote integration and reduce spatial segregation. In 2009, the CoJ followed suit and developed its own Inclusionary Housing Policy that saw little success. Again in 2016 a draft Inclusionary Housing Policy was prepared, of whose regulations and mechanisms were to be incorporated into the existing strategy for inclusionary housing, (CoJ, 2016a). The purpose of the 2009 policy was to form a collaborative approach between private developers and the city not only to increase housing delivery but also to develop inclusive neighbourhoods. The policy was mostly based on ownership but cognisant of rental accommodation. It focused on the mandatory approach with two alternatives being off-site compliance and fees paid in lieu.

Inclusionary housing is defined by the City of Johannesburg as *‘where private developers are required, incentivised and/or encouraged (by regulatory authorities) to deliver housing units’*. The Gauteng Draft Inclusionary Housing Bill defines inclusionary housing as *“A housing programme that requires developers to dedicate a certain percentage of new housing*

developments to low income and low middle income households at affordable housing cost” (Gauteng Provincial Government, 2012, CoJ 2016b, 2).

According to CoGTA (2016), the establishment of the Inclusionary Housing Policy was based on legislative and policy mandate of policies/legislature such as the SPLUMA, (Act 16 of 2013); the NDP 2050; the CoJ SDF 2040, and the IDP which provides that an inclusionary housing policy should be developed that incentivises property developers to include a level of affordable housing in their developments.

The Johannesburg SDF 2040 also makes the following provision for inclusionary housing *“Until such time as the Gauteng Housing Bill is adopted or the proposed City of Johannesburg Inclusionary Housing Policy is drafted and adopted by council, all new residential or mixed use developments of 10 residential units or more must include at least 20% affordable inclusionary housing, catering to households earning R7000 or less per month”*. (CoJ, 2016b: 141).

2.4.3.2 Challenges faced by the Human Settlements sector of South Africa.

Much work is being done by the National and Provincial Departments of Human Settlements in realizing the creation of integrated and sustainable human settlements. However, they are faced with challenges which impede on the successful realization of integrated and sustainable human settlements, (SACN, 2014).

The FFC (2013), asserts that the South African Human Settlements sector is faced with the following challenges in terms of housing provision, namely: a) lack of sustainability and insufficient delivery to scale; b) problems with the provision of houses that are subsidised fully; c) increasing gap market; and d) lack of land that is well-located, bulk infrastructure and inefficiencies of the chain of housing delivery.

a) Lack of sustainability and insufficient delivery to scale

The housing sector in South Africa is not delivering at the required scale, (Centre for Affordable Housing Finance in Africa, 2015). Since 1994 over 3 million fully subsidised houses were delivered of which is not enough to deal with the need for housing, (The conversation, 2016). The housing need is perpetuated by the growth in population and migration. Despite budget increases for human settlements and the 3 million houses that have been provided, the housing need persists.

b) Problems with the provision of fully subsidised housing

Almost 60% of South African households qualify to receive fully subsidised housing due to high unemployment rates which deprives them of an income to provide for their own housing. This results in an increased reliance on the government for housing. The current subsidy discourages the involvement of stakeholders such as the households and the private sector.

c) Increasing gap market.

The gap market defines those South African citizens who do not qualify for a mortgage bond or a housing subsidy and who earns between R3 501 and R22 000 per month, (SA Affordable Housing Online, 2019). The increase in this gap market is caused and worsened by the absence of commercial incremental housing products. The Finance Linked Individual Subsidy (FLISP) has failed to encourage the private sector to cater for the gap market when providing mortgages for households. This exclusion of the gap market has been left in the hands of the government to deal with.

d) Lack of land that is well-located, bulk infrastructure and inefficiencies of the housing delivery chain.

The national housing subsidy of SA is primarily based on capital grant that funds top structure. Land and higher density costs cannot be sufficiently covered in well-situated areas as they are high. This often leads to peripheral development. In cases where land is available the development of housing takes more years (usually up to three years) starting from township establishment to when the houses are handed over to beneficiaries. The combination of the problems of land assembly, administrative, and regulatory costs raises the prices of houses to an average of 30%.

2.4.4 Factors affecting the delivery of integrated human settlements

Although policies were developed in SA to deal with the challenge of housing, and despite the move from housing to human settlements there are still challenges affecting the delivery of integrated human settlements, (Khan, 2014). According to Minnie (2017) the creation of integrated human settlements in SA is constrained by the following factors: policy and planning frameworks are not properly coordinated and are not aligned; insufficient capacity to carry out developmental functions; divided systems of land administration and effecting roles and responsibilities in the process of land identification; land for human settlements takes time to

acquire and release; processes of land reform are slow, especially tenure reforms; costly land and development; scarcity of well-situated land with access to social facilities and economic opportunities.

2.5 Conclusion

In conclusion, this chapter has reviewed scholarly articles on human settlements and housing. It identified urbanisation and migration as the main causes of housing shortage globally. On top of urbanisation and migration, it explained that the housing challenge in South Africa was caused and inherited from the apartheid government which kept black people far away from city centres in townships located on city edges and within rural areas. The chapter also discussed how housing provision started, why housing is important and the challenges associated with its delivery. It also explained what are integrated and sustainable human settlements, SA's vision for human settlements and the existing challenges in the human settlements sector.



Chapter 3: Research Methodology

3 Introduction

The identified problem is the persistence of the housing backlog regardless of the attempts made by the South African government to resolve the housing challenge. The housing challenge can be understood to be perpetuated by issues like population growth, urbanisation and corruption, to name a few. The study's objectives are to find out the causes of the housing backlog in the CoJ (which is the study area), to find out the reasons behind the change of policies/programs from housing to integrated human settlements and to evaluate the methods used by the CoJ to transform human settlements from 1994. The study seeks to respond to these research questions: what is the root cause of housing backlog in the CoJ; why did the South African government move from housing to integrated human settlements; what methods can be used to transform human settlements in the CoJ; and what means can be used to evaluate the success of providing sustainable human settlements from 1994 to 2014.

This chapter is about research methodology which is based on the process of research and the types of data collection methods and procedures used. Research methodology is defined by Igwenagu (2016) as a process where research design and choice of utilised methods, and their necessity with regards to the research project, are made evident. As such, methodology is more than stating the chosen techniques for data collection and analysis. It constitutes research design, research approach, sampling design, data collection, and data analysis as discussed in this chapter.

3.1 Research Design

Research design describes the kind of study that is conducted to respond to the set research questions. It is a plan/blueprint that depicts the process that is carried out to conduct the research. This research undertook the literature review design, (Christensen et al, 2017). A literature review is a descriptive and/or analytical summary of existing knowledge that relates to a certain topic or study area. Therefore, this study is primarily based on the review of existing knowledge on housing and human settlements, the review of housing policy and publications, and data collected through interviews conducted with CoJ and GDHS officials involved in the delivery of housing or human settlements development. As well as CoJ residents.

3.2 Research approach

The study employed a qualitative research approach and collected data through qualitative research methods of collecting data, the methods utilised includes interviews, desktop research, case study and questionnaires. The study area (CoJ) was chosen because it is an economic hub of SA and a reception area to internationals who land at OR Tambo International Airport when visiting the country. The area also attracts people from within and outside South Africa who are in search of academic, economic and other opportunities. The qualitative approach was chosen because it allows interviewees/respondents to express their opinion using their own words, language of their choice and lived experiences, as a result it presents an opportunity to collect in-depth information.

3.2.1 Qualitative research approach

Two types of research exist, namely: qualitative and quantitative research. The basics of qualitative research is that it inspects the manner in which people try to understand and describe their real-life experiences using their own words. Expressing the information in their mother tongue using everyday concepts. Qualitative research differs from quantitative research, in the sense that quantitative research is based on numbers and focuses on understanding the world through the researcher's perspective and mind, making use of scientific concepts and terminology, while qualitative research is concerned with the development of ways to explain social phenomena, and seeks to provide answers to questions about identification of concepts and views, (Cropley, 2019).

Thus this study followed the qualitative approach to achieve the set research objectives and to explain the attempt made by the South African government in transforming human settlements, through the utilisation of various materials such as scholarly journals, policy and legislation, conference papers, books, reports and newspapers; questionnaires and interviews.

3.3 Sampling Design

Sampling *"is the process of selecting the sample for estimating the population characteristics. It is the process of obtaining information about an entire population by examining only a part of it"*, (Kabir, 2016:169). It includes identifying the target population from which the researcher hopes to obtain data, sampling method of selecting participants, and the sample size

of the required number of participants to partake in interviews and responding to questionnaires.

3.3.1 Target population

The population that was targeted include CoJ officials who are responsible for spatial transformation, housing development and housing policy; GDHS officials involved in the development of human settlements and residents who reside in the CoJ. These officials were targeted because they are at the fore front of spatial transformation and contains all the relevant data regarding housing and human settlements, as it is their roles and responsibilities to realise the creation of integrated and sustainable human settlements. The residents were targeted based on how long they have stayed in the CoJ.

3.3.2 Sampling Method

Selective sampling was applied, whereby participants were selected based on their role and involvement in spatial transformation, housing delivery and the development of integrated and sustainable human settlements. Residents were selected based on how long they have resided in the CoJ. Those who got an opportunity to observed the delivery of housing by the government unfold from 1994 to 2014 were selected.

3.3.3 Sample size

A total of 40 participants were interviewed and asked to respond to questionnaires in cases where they were not available for interviews. Participants included a total of 15 officials from the GDHS and 15 officials from the CoJ. A total of 10 residents of the CoJ also formed part of the sample size of 40 participants. However, respondent's names are not mentioned in this study.

3.4 Data Collection Methods

Data collection methods are regarded as techniques employed to gather and analyse data, King and Horrocks (2010), states that the most utilised method in qualitative research is interviews. This study also employed interviews as part of the methods used to collect data. Additional to interviews, desktop research, questionnaires, and a case study were also employed, as stated below:

3.4.1 Desktop research

Desktop research refers to the collection of existing data without undertaking fieldwork. It is the collection of secondary data in the form of existing dissertations, thesis, journal articles, books and others of which were prepared by other people, (Bowen, 2009). Desktop research was used in the study to collect information in the form of reviewing existing publications/journals on housing and human settlements, as well as South African housing policy and legislation.

3.4.2 Questionnaires

Questionnaires is a method of capturing participants' responses, they can be administered face to face, through the phone or via email. Questionnaires were emailed to participants from the GDHS and CoJ who could not be reached for interviews.

3.4.3 Interviews

Igwenagu (2016), states that this method of data collection tasks the interviewer with two fundamental tasks, namely a) to create an appropriate atmosphere, and b) to develop questions to which the respondents can respond to, the questions must be formulated in a manner that do not distort the views of respondents. The traditional view with interviews is to consider and regard the respondent as a source of information in which answers can be drawn from. Group interviews and the following types of interviews were conducted:

3.4.3.1 Open interviews

The open interviews conducted in the study allowed respondents/interviewees to provide open ended answers and the interviews did not follow the set structure as some questions were already attended to by respondents when answering certain questions. The interviewer's role with these interviews was to direct the dialogue/interview and restructure questions along the interview to capture desired information.

3.4.3.2 Semi-structured interviews

Semi-structured interviews as the name implies, are more structured than open interviews, (Stuckey, 2013). The researcher had structured questions to ask respondents and added some

unstructured questions along the interview to expand on respondents answers so as to obtain in depth information.

3.4.3.3 Structured interviews

Structured interviews as articulated by Stuckey (2013), are highly structured and involve a question-and-answer conversation whereby the researcher dotes down all the question the respondent is required to respond to in relation to the research being conducted. Questions were formulated and read aloud to respondent's word for word. Some questions were skipped when respondents offered relevant answers spontaneously.

3.4.3.4 In-depth interviews

According to Igwenagu (2016) in-depth interviews are characterised by the interviewer's attempt to get below the surface and gather respondents' emotions and experiences or recognize the rationalisations and defences they use when dealing with the issues being discussed. Respondents were interviewed about their experience of housing in South Africa and why there is a housing challenge in their opinion.

3.4.4 Case Study

Case study is another method employed in qualitative research to gather information, it collects in-depth information about specific entities and is hugely employed in sociology, education and other fields, (Marrelli, 2007). The CoJ is used in this study as a case study, a closer look was taken into the city's way of providing housing specifically looking at the stakeholders who play a role in housing delivery, location of housing, housing projects undertaken by the city, methods utilized by the city to transform human settlements etc.

Table 1 below shows the research methodology matrix which provides the set objectives, the methods that will be undertaken to achieve each objective and the deliverables of each objective.

Table 1: Research Methodology Matrix

Objectives	Methods	Deliverables
1. To find out what causes housing backlog in the CoJ.	Interviews, questionnaires and desktop research	Identification of factors causing an increase in housing backlog.
2. To find out the reasons behind the change of policies/programs from housing to human settlements by the South African government.	Desktop research	identification of challenges that led to change of policies
3. To investigate which methods are used to transform human settlements in the City of Johannesburg.	Desktop research	To identify the methods and mechanism used to deliver housing and transform human settlements within the city
4. To evaluate how human settlements have transformed in City of Johannesburg from 1994 to 2014.	Desktop research	To indicate the progress made in housing delivery and to identify the change in housing and human settlements development from 1994 to 2014.

Source: Own Construction

3.5 Findings and Data Analysis

Findings and data analysis is about analysing and interpreting the data collected. The method of analysing data that was utilised in this study is thematic analysis, which includes dividing the data into various themes. Possible themes include the following: history of the housing backlog in the CoJ; causes of housing backlog in the CoJ etc.

3.6 Limitations and mitigation measures

Data was collected successfully, however shortcomings and limitations were encountered. Shortcomings such as multiple rescheduling of interviews by government officials, especially the GDHS officials whom at the time interviews were conducted had back to back meetings. In relation to the residents of the City of Johannesburg most respondents refused to sit in on one-on-one interviews and preferred participating in groups, again these respondents were withholding information in some instances especially when responding to the question of causes of informal settlements within the CoJ with fear of getting in trouble with the law. After

residents were convinced and proof was presented that the study is for academic purpose they started to be at ease. Some officials from the CoJ who were not available for interviews due to personal reasons were sent questionnaires to respond to via email, as a result they provided summarised information. The study had the following limitations: limited time to conduct interviews with participants who were hardly available to participate in interviews and not acquiring in-depth data from them. Another limitation was a lack of access to maps of the CoJ which have a north arrow, scale and also that latest maps that depicts the exact spatial change in the location of state provided houses from the period 1994-2014.

3.7 Conclusion

In conclusion, the chapter has defined methodology as a process where research design and choice of utilised methods, and their necessity with regards to the research project, are made evident, (Ingwenangu, 2016). It outlined that research design is a plan or a blueprint that depicts the process of carrying out the research. It stated that the research approach taken by the study is qualitative research approach. It also stated that qualitative techniques/methods of collecting data were used.



Chapter 4: Findings and Data Analysis

This chapter analyses the data collected using thematic analysis, which involves the categorisation of data into various themes. It also discusses the research findings which are basically information collected from the utilisation of the data collection methods discussed in the above chapter.

4. Introduction

The City of Johannesburg is said to have a social housing backlog of 300 000 units, (Monakali, 2019). This increasing need for housing in the city is caused mainly by urbanisation which involves the mobility of people from rural areas into city areas to look for better opportunities of employment and to benefit from the economy of cities, (SA Affording Housing Online, 2019). Due to housing backlog the city today is faced with growing numbers of informal settlements and homeless people, according to a CoJ official. According to the city's housing MMC the city is still trying to sort out the housing waiting list of the years 1996/1997, (Lindeque, 2019) which shows the extent of the backlog.

A diversified way to speed up housing delivery in the city has been identified, which is the development of an inclusionary housing policy, (CoJ, 2018). The mayor also proposed conversion of abandoned buildings to develop social housing, stated a CoJ official. There are also plans in place for the provision of BNG houses, previously known as RDP houses. This chapter sets the scene by discussing housing in Johannesburg, and proceeds to discuss the housing backlog faced by South Africa and the CoJ, its causes and effects. Thirdly, it provides reasons behind the change of policies/programmes from housing to human settlements by the SA government. It concludes by discussing the transformation of human settlements and how these settlements have transformed in CoJ.

4.1 Housing in Johannesburg

Initially housing in the CoJ followed the apartheid spatial pattern whereby publicly funded low-income houses were located in the edge of the city as a result of land being cheaper in such locations, (Ogra and Onatu, 2013). Over time this spatial pattern started to be broken down and, in some instances, continued. Charlton (2014), describes the spatial pattern of low-income housing projects provided by the government in Johannesburg as extending from the boundaries of the city going closer to the city core (refer to figure 2 below). Even though some

of these projects are located on the edge, unlike in the apartheid era these areas are no longer marginal in terms of accessing opportunities because now they can easily connect with areas of economic opportunities through public transport, which can also connect them to surrounding municipalities, (SACN, 2014).

Charlton (2014), writes that individual ownership houses in the city are dominant when compared to rental housing (social/institutional housing) that has been provided. In some newer mixed income projects, bonded houses for sale to less poor buyers have been developed near the state-subsidized housing. According to a GDHS official funding for these state-subsidized houses is provided in the form of capital grants coming from the national sphere of government and infrastructure subsidies intended for local government. In 2009 the director-general in the DHS which was known as the DoH noted that 13 million people have been built houses.

Housing in the city has evolved and seen new housing developments emerging in areas such as the inner city and Alexandra for example, which offer good locations in the city, and are aligned to infill development and spatial restructuring which are the post-apartheid government's objectives, as well as the city's objective of providing well located and serviced housing opportunities, stated a CoJ official.



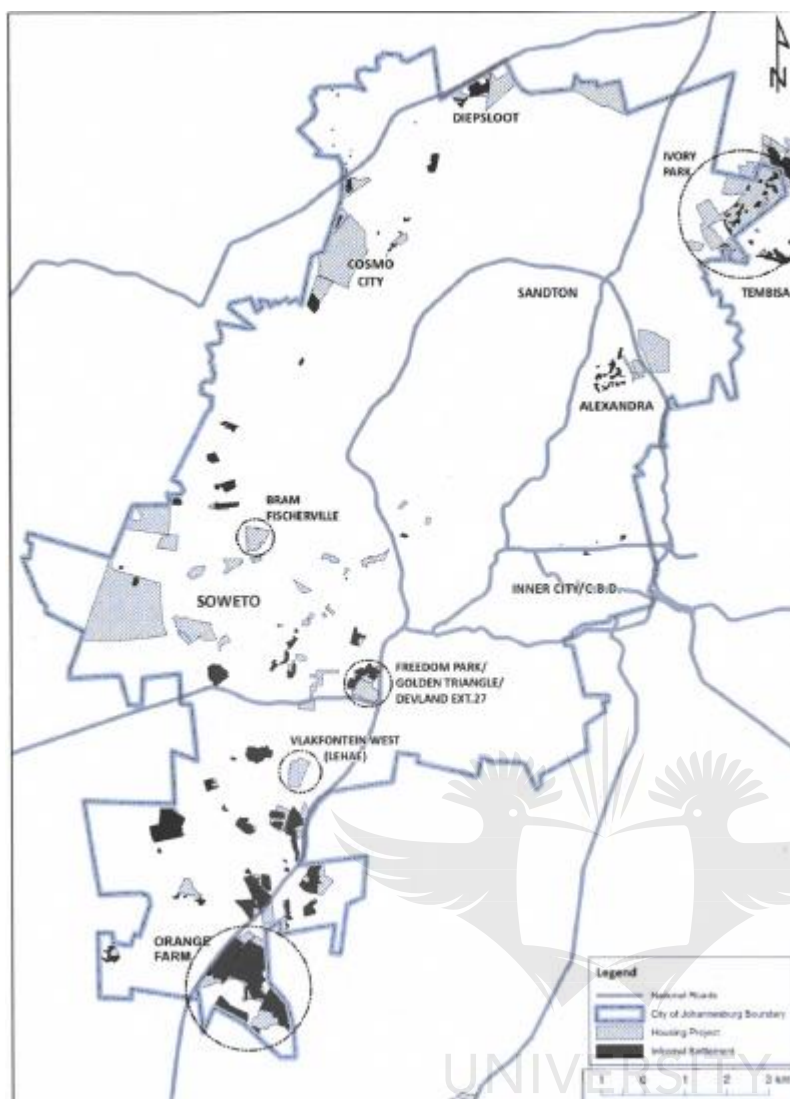


Figure 2: Low income housing projects and informal settlements (2011)

Source: Charlton, 2013

4.1.1. Housing delivery interventions by various stakeholders in the CoJ

The SHSUP (2012), states that housing provision in the City of Johannesburg is steered by various stakeholders such as a) National/provincial government (National Department/Gauteng Department of Human Settlements); b) CoJ Metropolitan Municipality; c) Social Housing Regulatory Authority (SHRA); and d) Johannesburg Social Housing Company (JOSHCO), a CoJ official shared the same sentiments.

4.1.1 National/provincial government

The National Department of Human Settlements (NDHS) is responsible for facilitating the development of sustainable human settlements and improved quality of life for households,

said a GDHS official. The department determines budgets, promotes and monitors the implementation of programmes intended for housing and sanitation, (NDHS, 2012).

To achieve its set objective of creating sustainable human settlements and improving the quality of life of households, the NDHS has identified priority areas that are as follows: accelerated opportunities of housing delivery, access to basic services, efficient land use, and property market that is improved, as stated by a GDHS official. All provincial Departments of Human Settlements such as the Gauteng Department of Human Settlements work with the Housing Development Agency (HDA) available in all provinces to realise the development of integrated and sustainable human settlements.

The HDA is the Department of Human Settlements' agency, accountable for "*identifying, acquiring, holding, developing and releasing state, privately owned and communal land for residential and community purposes for the creation of sustainable human settlements*", (HDA Act, 2008:9).

4.1.2 City of Johannesburg Metropolitan Municipality

A CoJ official revealed that the CoJ Metropolitan Municipality is divided into various directorates and departments. Under the Planning and Development Directorate there is a division known as City Transformation which is responsible for spatial transformation within the city, as well as the implementation of policies and frameworks (e.g. Inclusionary housing policy and SDFs respectively). There is also a Housing division whose role is to guide housing provision within the city, added the CoJ official.

4.1.3 Social Housing Regulatory Authority (SHRA).

SHRA is also an agency of the DHS, its mission is to manage and invest within the delivery of affordable rental homes to the low income group, to renew communities, and to ensure that investment flow into the social sector is regulated in a sustainable manner, (Obioho, 2019). As stated by a GDHS official, the functions of the authority are to:

- a) Promote the development of social housing and awareness.
- b) Support the DHS in social housing development and facilitate national social housing programmes;
- c) Provide best practice data and analysis on the standing of the sector of social housing;
- d) Aid assistance with regards to restructuring zones design when requested, and

- e) Build consensus with provincial governments and the NHFC to ensure power is exercised in a coordinated manner.

SHRA provides good quality rental accommodation for the low to medium income groups who earns salaries and wages that are between R 1500 and R15 000, added the GDHS official.

4.1.4 Johannesburg Social Housing Company (JOSCHO)

JOSCHO is a housing company accountable for the construction of social housing in the CoJ. The company's vision is as follows *"JOSCHO will design and build quality, resource efficient, economically sustainable and affordable housing products, which are close to transport nodes and which address the needs of the community and the environment in Johannesburg, with a strong emphasis on effective management and customer focused service delivery"*, (JOSCHO, 2017:4).

4.2 The housing backlog

Housing backlog can be defined as the shortage of houses caused by the demand of housing being greater or exceeding the number of houses that can be supplied, (Marutlule, 2017; Tissington and Dugard, 2013). As mentioned earlier, the housing challenge or housing backlog is a global issue and continues to be an issue due to rising urbanisation and population growth, (SA Affordable Housing Online, 2019) this therefore calls for stakeholders to provide a solution.

4.2.1 Housing backlog in South Africa

Obioha, (2019); SA Affordable Housing Online, (2019) corroborate that in 2019 there was an estimate of 2. Million to 2.3 million housing backlog in South Africa, which means an approximated annual growth of 178 000 units due to population growth, migration and other factors. Gauteng is one of the most affected provinces in terms of housing backlog, said a GDHS official. Figure 3 below, shows that despite the delivery of a large amount of houses in Gauteng in the year 2016, the housing backlog remained high. The Western Cape and the KwaZulu Natal provinces also had a high housing need above 500 000 units despite the large number of constructed RDP houses in these provinces.

The Northern Cape province according to Figure 3 had the least housing backlog and least constructed RDP houses. In October 2006 it was reported by the press that the housing backlog

of the country grew as a result of urbanisation and the demand that comes with it. In 1996 the number of inadequate dwelling was 1.5 million and it grew to 1.8 million in 2001 of which shows a 20% growth. In the same year, it was reported by the Banking Association that there was an affordable housing shortage of approximately 661 000 in the sub R200 000 price range. The Gauteng province experienced the greatest backlog of 191 000 houses, a demand that was created by target housing loans. The Western Cape province followed with a backlog of 128 000 houses, (Rust, 2006).

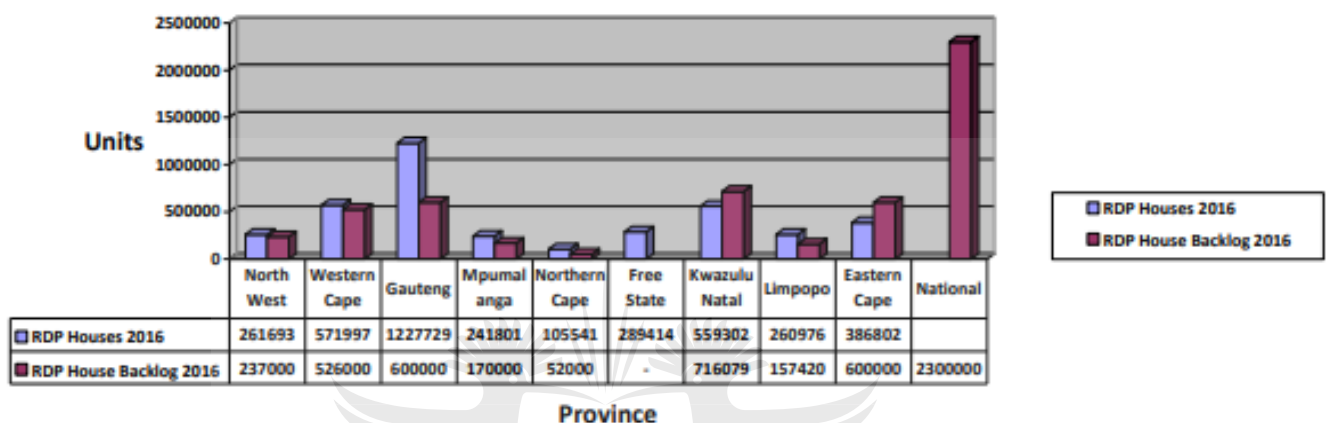


Figure 3: 2016 housing backlogs by province
Source: Obioho 2019:6

4.2.2 Housing backlog in the City of Johannesburg: Research Question 1.2.1

According to a CoJ official, the backlog of formal dwellings in the city is the highest when compared to the backlog of other basic services such as water and sanitation, and currently stands at 21.5% (as seen in table 2). When converted to numbers it makes approximately 344 000 housing units. The backlog has been growing at a rate of 1.81% annually. As of 2018, a total of 78.5% households in the city reside in formal dwellings with the remaining 21.5% households residing in informal dwelling units, (CoJ, 2018). This housing backlog constitute of informal settlements, overcrowding in hostels, backyard rental, overcrowding in the inner city, the waiting list of housing, and homeless people in general. Monakali (2019), notes that the backlog of social housing in the city as of 2018 is 300 000 social houses, which shows a decrease of 176 600 houses when looking at the 2012 housing backlog. The city has 1.6 million households, and has the following backlogs in terms of basic services:

Services	Serviced %	Backlog approx. numbers	Backlog %
Housing	78,5	344 000	21.5
Water	99.1	14 400	0.9
Sanitation	95.5	72 000	4.5
Electricity	89.80	163 200	10.20
Refuse removal	95.9	65 600	4.1

Table 2: Services Backlogs

Source: CoJ, 2018

4.3 Causes of the housing backlog

This section, studies the causes of housing backlogs both in SA and the study area (CoJ). Some of the causes are common to both the country and the study area.

4.3.1 South Africa

Over the past decades' people have been and are still faced with severe housing problems, a large number of people in South Africa still reside in inadequate shelters such as informal settlements, stated a CoJ resident. Marutlule (2017), states that housing backlog in the country is dependent on key factors such as the structures of houses, rapid urbanisation, migration due to minimal opportunities available in rural areas for people living there, unemployment, and lack of access to housing finance. Most scholars such as Manomani and Tanga (2018); Ogra and Onatu, (2013), share the same sentiments that issues like inadequate expenditure on housing, the unavailability of required capacity to carrying out housing projects, and that available funding for housing is not consistent also have an impact in the housing backlog of the country.

Another constraint to effective housing delivery is the insufficient national budgets directed towards achieving the goals of housing, stated a CoJ official. At provincial level housing backlog is perpetuated by challenges such as: financial constraints and delivery, bottle necks, government coordination, bulk infrastructure, issues of the ownership of land, capacity constraints of housing contractors, private sectors and government, systems for monitoring and evaluation, and the various ways in which policy and legislation is interpreted by provinces, (Ogra and Onatu, 2013). Below are some of the causes of the housing backlog explained briefly:

a) Corruption and mismanagement

Corruption is a global problem that prevents progress and development. In South Africa corruption can be regarded as the main contributor in perpetuating the housing challenge. Manomano et, al (2016); Ratsatsi (2010), states that in the year 2010 a total of 20 housing projects were said to be jeopardized by dodgy contracts among the contactors and the officials of government.

b) Urbanisation

During apartheid various mechanisms were used to suppress urbanisation in the country, which includes the Group Areas Act of 1950 known as the pass system and legislation, (CoJ, 2016). At the end of apartheid there was a surge in urbanisation, with population growths mostly in metropolitan areas. Currently in South Africa Gauteng is the most fast growing province with CoJ having a population of approximately 5.05 million people, (CoJ, 2018). Urbanisation together with migration are major contributors of population growth.

a) Small housing structures

CoJ residents corroborated that the RDP houses that were provided in the early dawns of democracy were too small in size and deprived families off their privacy. They were also not good for hygiene and impacted badly on the growth and development of children, (Bauman, 2003). As a result, within one family you find that all members who were above the age of 18 registered to receive their own houses, which caused an increase in housing backlog.

b) Poor material used to construct houses

The RDP houses' quality is usually poor, as the focus is mostly on the quantity (construction of a huge number of houses) than it is on quality, revealed CoJ residents. The use of poor-quality materials in the construction of houses worsens the housing problem and results in crumbling roofs, walls and doors, (Moolla and Block, 2011).

d) Poorly located houses

The location of RDP houses is of paramount importance taking into consideration that it determines the way in which the community will grow and the socio-economic empowerment of the housing beneficiaries, stated a CoJ official. Most of the RDP houses are situated on the urban edge far from resources, resulting to many problems which includes crime amongst other, (Burgoyne, 2018).

e) Lack of public engagement

In the process of planning and construction of the RDP houses, relevant stakeholders and beneficiaries are not involved, (Mashwama et.al. 2018). In some cases, housing beneficiaries are only involved at the later stages of the RDP projects but in most instances their participation is limited, complained CoJ residents.

4.3.2 Johannesburg

The main cause of the housing backlog is the lack of balance between demand (which is manifested by the long waiting lists of housing, increase in informal settlements, overcrowding in the inner city etc.) and supply (delivery of RDPs, social and bonded housing) of housing, demand exceeds supply, as stated by a CoJ official. A GDHS officials noted that other factors include the act of beneficiaries of renting out and selling their RDP houses to go live in informal settlements, urbanisation as well as unemployment also contributes because unemployed people cannot afford to provide for their own houses but depend on the government to provide for them, (Manomano et.al, 2017). There are 3 000 people migrating into the city monthly, (CoJ, IDP, 2018).

a) Urbanisation

According to Burgoyne (2008), urbanisation also plays a huge role in worsening and increasing the housing backlog, as well as its interrelation to unemployment. This also leads to the mushrooming of informal settlements as the only alternative solution to provide shelter by the unemployed who cannot afford to pay rent, build/buy their own houses. A CoJ official stated that at present (as of 2018) there are over 180 informal settlements in CoJ.

b) Population growth

In the year 2016, the population of the CoJ doubled in size, from 2.5 million people in 1996, (refer to figure 4 below). As population increases so does the need for basic services such as housing, and as the number of people grows existing infrastructure is put under pressure and that presents a challenge to the city, to provide for the growing population, revealed a CoJ official. Also the unemployment rate increases as more and more people require job opportunities.

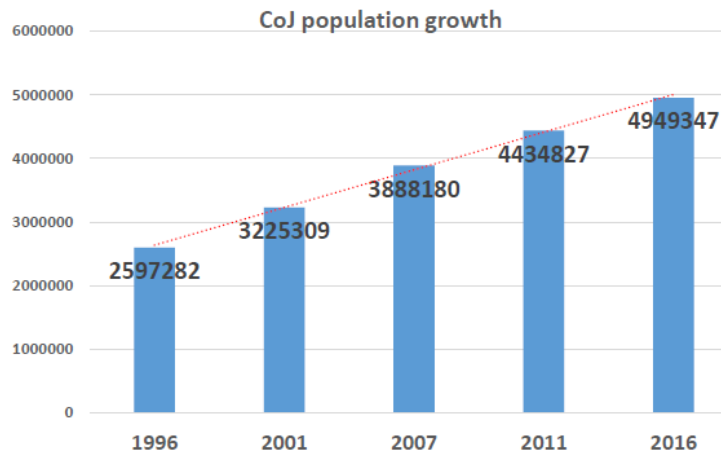


Figure 4: Population growth in CoJ
Source: CoJ

c) Migration

Msindo, (2017) and a CoJ official blames this backlog to the population migration pattern in the province. The official states that people tend to migrate to the Gauteng province in search for employment opportunities because it is the economic hub of SA, and they end up finding themselves without jobs which adds up to the already high unemployment rate. Figure 5 below shows that many of the migrants who lives in the city are from outside South Africa, in 2011 these migrants made 43% of CoJ's population and in 2016 their number decreased to 37%. When looking at the migrants from within South Africa, they are largely from the Limpopo and KwaZulu Natal province and they make 20% and 17% respectively when looking at the statistics for 2016.

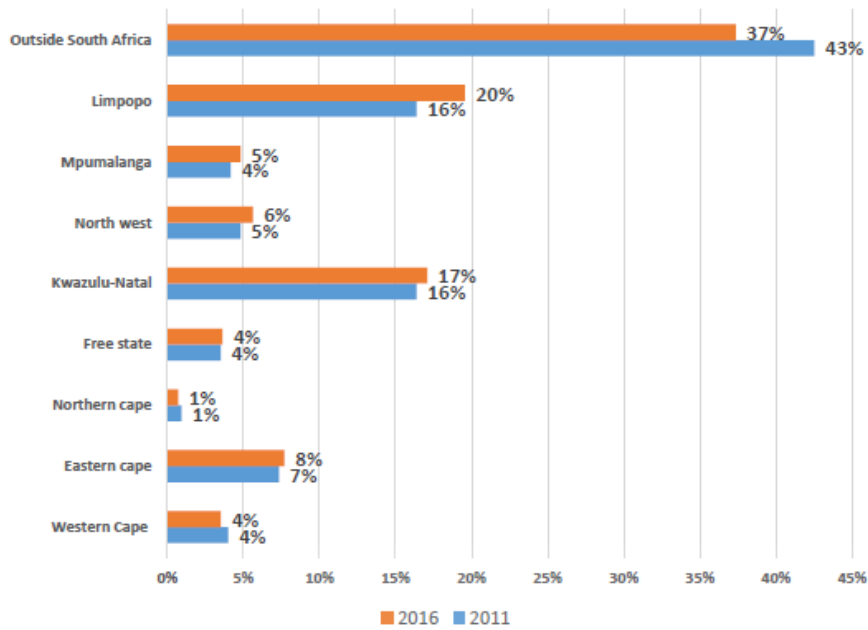


Figure 5: Migrants residing in CoJ (2011, 2016)
Source: StatsSA

d) Unemployment

Unemployment is SA's major challenge and the CoJ is also affected by it, stated CoJ residents. As stated in the city's IDP, unemployment is at 32.3% with youth unemployment at 40%. Most people in the city are employed in the accounting sector which makes 26.6% of total employment, followed by the trade sector with 21.1% and the agricultural sector employing only 0.4% of the total population, revealed a CoJ official. The informal sector is said to employ 285 000 people in the city, (CoJ, 2018: 16).

According to a CoJ official close to 150 000 people in the city receive no monthly income, and approximately 300 000 people earn as little as R 1 601 to R 3 200 a month meaning they rely on the government for housing as they earn too little to afford their own accommodation, (refer to figure 6).

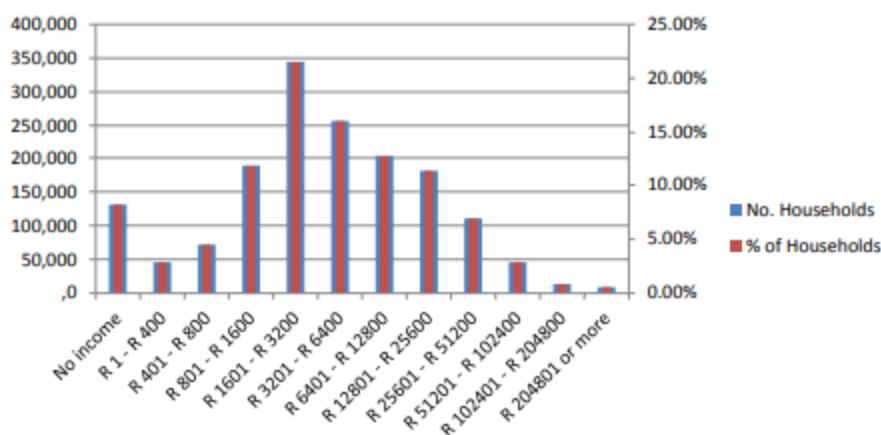


Figure 6: Household monthly income distribution
Source: CoJ, 2016

4.3.2.1 The effects of the housing backlog in the City of Johannesburg

The residents of Johannesburg who are unemployed resort to living in shacks due to the inability of the government to provide shelter for them, as they do not have the means to rent or purchase houses for themselves, stated a CoJ official, and this act of building shacks leads to informality. According to Harrison et.al (2011), informal settlements have formed a crucial part of Johannesburg since its establishment, to some extent shaping its development. As stated by a CoJ official, informal settlements in the city have been mushrooming over the past decades. In 2011, it was reported that over 189 informal settlements existed, and in 2018 the number dropped to 180. These informal settlements pose a challenge to the city in cases where they are not appropriate for in-situ upgrading which makes relocation the only alternative solution, stated a CoJ official. Many of these informal settlements were established before the year 2000.

In between 2000 and 2003 no new informal settlements were formed according to (Harrison et.al, 2011). The existing informal settlements are concentrated in the western periphery of the city, and they form an arc starting from Ivory Park, going past Diepsloot and down to Orange Farm in the Southern part of the city, said a CoJ official. Mears (n.d) asserts that the development of these informal settlements were influenced by politics ever since gold was discovered in the city.

4.3.3 How the Human settlements sector plans to deal with housing backlog?

The Human Settlements sector plans to grow budgets to tackle the housing backlog of SA, as stated by a GDHS official. The allocated budget for the construction of human settlements as

a share of the entire budget is only 5%, the budget increases over 8%, beyond the average growth of different sectors like basic education, economic affairs and defence, public and safety, added the GDHS official.

A budget increase can tackle the housing backlog if such an increase is enough to cater for inflation rise and the increasing need for housing caused by population growth. A total amount of approximately R800 billion is required by the South African human settlements sector to eradicate housing backlog by 2020, (Msindo, 2017). In order to eradicate the housing backlog, the state's role will need to be the provision of public infrastructure and to support low-income households to acquire adequate shelter.

4.4 The change of policies/programs from housing to human settlements by the South African government. Research Question 1.2,2

Since 1994, the government of SA has established policies and programmes on housing with the aim to fulfil the obligations of the constitution of the country and to respond to the housing problem that the country is currently faced with, (FFC, 2013). A GDHS official stated that the housing policies are aimed at fulfilling the promises of providing top structures rather than dealing with the different dimensions of the housing market. These policies have been going through reform since their establishment. The reforms include changes in housing delivery, norms and standards, orientation and targeted income groups. The change in housing policies and programmes happened over three episodes/periods, namely: a) 1992 to 2003; b) 2004 to 2009; and c) 2010 to 2013, as stated by a GDHS official.

4.4.1 First period (1992 to 2003)

During the period of 1992 to 2003, the main housing policy used was the White Paper on Housing Act (Act No. 107 of 1997), which is based on a total of seven policy tenets: *“stabilisation of the housing environment, mobilising housing credit, providing subsidy assistance, rationalising institutional capacities, facilitating the speedy release and servicing of land, and coordinating government investment development”*, (FFC, 2013:14). In 1992 the national housing subsidy was established with the goal to deliver a larger coverage of subsidised houses. A GDHS official asserted that the target was to deliver above 5 million houses in less than the first five years of the national housing subsidy's development. Beneficiaries were given houses based on a waiting list that was managed by provinces and their municipalities, in 2003 this approach of housing delivery came to an end as it was

developer driven due to the fact that the structures of local government were under-developed at the time, added the GDHS official.

In 1994 the RDP was established. The main aim with the RDP was to resolve the challenges that were created in the apartheid era by the then government and to address problems of the conditions of SA post-apartheid, (Moolla and Block, 2011). The RDP aimed to mobilise resources towards putting apartheid to an end and to build a future that is free of racism and sexism. It laid upon six fundamental principles, namely: *“an integrated and sustainable programme, a people-driven process, peace and security for all, nation building, link reconstruction and development, democratisation of South Africa, and an integrated programme”*, (Ackerman, 2016:32).

In between 1992 and 2003 there were complaints about housing delivery from beneficiaries complaining mainly about the houses' quality and size, (Manomano et.al, 2017), and constructors complaining about the subsidy's adequacy to build houses of a certain standard. These complaints were addressed through the development of national norms and standards which made specifications of the size of the houses (30m²) and increasing the subsidy's quantum over time, revealed a GDHS official. The GDHS official added that in 1994 only 20 000 housing units were constructed, and improvements were made to reach 200 000 housing units by the year 1999. In 2000 and 2001 the number of houses provided declined and the year 2002 saw an increase while in 2003 the number went back to that of 1994 which is 200 000 housing units.

4.4.2 Second period (2004 to 2009)

The Comprehensive Plan for the Development of Sustainable Human Settlements also known as the Breaking New Ground (BNG) policy framework was introduced during this period. Tissington (2011), writes that this policy stressed on the delivery of sustainable human settlements, the necessity for integrated development and informal settlements upgrading. It brought the South African government to catch up with international trends in housing which included the realisation of the Millennium Development Goal (MDG) 7 and target 11 which aimed to improve the lives of about 100 million slum dwellers by 2020, stated a GDHS official. The focus is now on SDG 11 (making cities and human settlements sustainable), since the MDGs came to an end in 2015.

The BNG aimed to increase the speed at which housing is delivered, improve housing quality and environments to ensure the creation of asset, restructure and reintegrate human settlements,

and was intended to respond to challenges such as the increasing housing need, unemployment and the location of housing in the edges of cities, (Pillay, 2008). It also focused on stressing the housing delivery process and the long-term sustainability of the housing environment. A CoJ official stated that the BNG introduced a shift from placing the focus on providing more housing units (quantity) and to focusing on providing quality houses, which looks at the housing design, size and choice with regards to tenure type and location and enforced a vision of doing away with racism while using sustainable human settlements to integrated societies.

During this period (2004 to 2009) there was a significant evolvement of the structure of delivered housing units which were now 40m² and were characterised by two bedrooms, a toilet with a washbasin, a kitchen with a basin, a wooden front door, a roof tile and fascia boards, stated a GDHS official. Housing policies and programmes moved their focus to using housing as a mechanism to build assets for the poor as opposed to focusing on redress, equity, and redistribution, (DHS, n.d). The idea of asset building for the poor was to enable them to gain access to the property and financial market through their assets.

The Republic of South Africa (2014), states that in 2005 the Finance Linked Individual Subsidy Programme (FLISP) and the Social Housing Policy were introduced. Followed by the approval of a Rental Housing Amendment Act (Act No. 43 of 2007) which amended from the Rental Housing Act of 1999 to provide for rulings by rental tribunals. The creation of a sustainable environment for the development of housing was promoted by the establishment of the Social Housing Act (Act No. 16 of 2003) that also provided for the introduction of SHRA, said a GDHS official. In 2008 the National Rental Housing Strategy received approval and set a target to deliver 100 000 rental housing units (75 000 social housing and 25 000 community residential units) by the year 2012.

In the same year the National Upgrading Support Programme (NUSP) was established to help provinces and municipalities in upgrading informal settlements. The NSUP developed the following pillars of delivery: water and sanitation, security of tenure and the empowerment of community, according to a GDHS official. The proposals of the program were included in delivery agreements of the state and were rolled in 49 municipalities across the country, (FFC, 2013). The FFC adds that during this period the delivery of houses increased until 2006 to over 250 000 housing units and then decreased, dropping to over 150 000 housing units annually in 2008 and 2009. The decrease was due to the shift from quantity to quality and the delivery of 40m² as opposed to the initial 30m², the 2007 global financial crisis, the appreciation of the

costs of construction, and act of under-spending by provinces as a result of poor management of programmes.

4.4.3 Third period (2012 to 2013)

In the course of this period key housing policy development were the revised National Housing Code in 2009, the adoption of Outcome 8 of the National Development Plan. The Housing Code encompasses the principles, guidelines, and norms and standards that are applicable to governments' different programmes of assisting with housing, according to a GDHS official. In addition to the Housing code, via Outcome 8 the government dedicated itself to improve 400 000 households within informal settlements over a period of 4 years beginning from 2010. In 2012, the government provided a fund of R1 billion to households within the income range of R3 501 and R15 000 as a way of enabling them to be able to access housing loans for purchasing a house worth R300 000, according to a CoJ official.

The shift from housing to human settlements was introduced in order to shift from the mere development of houses for beneficiaries and to begin ensuring that places where people can live, work and play are created in the process of developing houses, added the CoJ official. Hence, the government introduced integrated and sustainable human settlements. According to Ackerman, (2016); UN-Habitat (2001), the main objective of integrated and sustainable human settlements is to restore to the black community its humanity and dignity, and to redress spatial inequalities.

4.5 Methods used to transform human settlements: Research Question 1.2.3

As explained previously in the study, human settlements are groups of houses where people reside. These settlements are characterized by close proximity to public transport, health care, education facilities etc., according to a CoJ official. A GDHS official stated that the government of South Africa uses methods such as housing programmes to create integrated and sustainable human settlements and to achieve spatial transformation.

4.5.1 Formal Housing Delivery Methods and Mechanisms

The National Department of Human Settlement and its counterparts' agencies, as well as provinces and municipalities are obliged to follow set methods of delivering formal housing, according to a GDHS official. Obioho (2019), notes that these methods are grouped according to three income groups, the groupings are: subsidized income group (households who earn up to R 3 500 per month); gap income group (households who earn R 3 501 – R 10 000 per month); and private market (households who earn from R10 000 and above per month), as stated by (Obioho, 2019) and a GDHS official. These methods are briefly explained in table 3, below:



Formal Housing Delivery Method	Funding Mechanism
Subsidised Income Group (R0 - R 3 500 per household per month)	
RDP/BNG Housing Delivery – National	National government provides an RDP/BNG subsidy for housing units construction, normally referred to as top structure.
Backyard Rental Programme – Gauteng only	This program goes with a grant known as Affordable Rental Accommodation Grant which is awarded to landlords who meet requirements to renovate their backyard room and rebuild when necessary.
Upgrading of Informal Settlements (UISP) – National	Local municipalities identify informal settlements falling within their jurisdiction and apply to the DHS of their province for a grant to upgrade the identified informal settlements.
People's Housing Process (PHP)– National	A project application is submitted to the provincial office by a support organisation established by applicants to help them apply for subsidies. Once the application is approved access to subsidies is then granted
Community Residential Units (CRU) – National	Additional to a subsidy of renovating or developing CRUs/Hostels, a grant of maintenance for a period of 5 years is provided once-off.
Integrated Residential Development Programme (IRDP) – National	Is a subsidy dedicated for the development of mixed-use housing projects that consist of mixed income groups and include social diversity.
Urban Settlement Development Grant (USDG) - National	Is a mechanism developed to ensure that public housing and economic growth contribute to human settlements.
Gap Income Group (R3 501 - R 10 000 per household per month)	
Social Housing Institutions (SHIs) – National	The subsidy is paid to approved establishments to offer subsidised housing on deed of sale, rental or rent-to-buy options, on condition that the beneficiaries will not be pressured to pay the entire purchase charge and to take transfer in less than the first four years of receiving subsidy.
FLISP – National	The subsidy was established for the gap income group who earn too much to qualify for an RDP/BNG house or too little to qualify for a home loan (the R 3 501 to R 7 000 income group). It is meant to purchase a service site or a developed property.
Gap: Inclusionary Housing	compels private developers to set aside a certain portion of their social housing developments to the low to middle income group. Beneficiaries are households with an income that is below R 10 000 per month.
Private market (more R 10 000 per household per month)	
Developer Implementation, Market Driven, Private Sector.	Bonded; Privately funded Usually provided for people earning between R7, 500 and R40, 000 per month.

Table 3: Formal Housing delivery methods and mechanisms
Source: Obioho, 2019

a) Priority Housing Development Areas (PHDAs)

Another recent housing delivery method, is the PHDAs which are zones earmarked for development of human settlements and for government and private sector to invest in and carryout big developments, revealed a GDHS official. According to the DHS Gazette No671 on PHDAs, the aim behind the PHDA is to advance the consolidation and spatial transformation of human settlements by ensuring that housing delivery revitalise and restructure cities and towns while fostering integrated urban forms, so as to overcome the spatial patterns of apartheid. The PHDAs are based upon the principles of the NDP and the objectives of the Urban Integrated Development Framework (UIDF), which amongst other includes the following:

- a) Spatial justice:** integration of spatial pattern and to do away with exclusion based on income and skin colour,
- b) Spatial efficiency:** promote efficient public transport and consolidation of space,
- c) Access to economic and social infrastructure:** intended to ensure the attainment of basic services, job opportunities, transport networks, education, health and welfare etc. to facilitate and catalyse increased investment and productivity,
- d) Access to adequate accommodation:** is based on the provision of affordable sustainable housing in areas of high needs,
- e) Provision of quality housing options:** creation of various housing typologies that will attract various segments of the market of appropriate quality.

b) Catalytic projects

One of the HDA's priority programmes as mandated by the MTSF 2014 – 2019 is to implement the Catalytic Projects Programme, stated a GDHS official. Catalytic projects are spatially centred interventions that intends to transformation the way infrastructure is provided by restructuring the pattern of settlements. These projects are large in size and their benefits are: expanded economic possibilities from jobs created at the inception of projects and post construction, and also SMME job creation, (HDA, 2018).

4.5.1.1 Methods used to transform human settlements in the City of Johannesburg

According to the SDF of the CoJ, housing provision is done through a wide range of methods, including self-build, PHP, social housing/affordable rental, individual subsidy or consolidated subsidy (CoJ, 2016:6). Additional to the programmes listed above, the city has numeral key

projects and programmes in place that are dedicated to human settlements, some of which include: construction of mixed income housing, the construction of rental accommodation in the inner city, and other housing opportunities along transport corridors, stated a CoJ official. The following methods are discussed below: Corridors of Freedom (COF), conversion of abandoned buildings and mega human settlements.

a) Corridors of Freedom

The Corridors of Freedom are a transit-oriented development approach that intends to direct future (real estate) growth along certain corridors that link a wide range of interchanges and nodes, (Harrison et.al, 2019). It was introduced in 2013 by CoJ with an aim to reduce spatial inequality, according to a CoJ official. The idea with the COF is to increase the density of mixed income housing developments around Rea Vaya Bus Rapid Transit (BRT) lines in order to develop Transit Oriented Development, (TOD), (Pieterse and Owens, 2018). A CoJ official stated that the aim of the CoJ is to see the development of a new skyline with high rise residential developments surrounding the transit nodes.

The SACN (2014), states that the aim behind the COF is to integrate the city by means of supporting public transport and non-motorised transport and that the vision of the COF is to be urban innovation incubators, to attract private sector investment, and to transform urban space economy through higher densities, integrated development and ensuring that amenities can be easily accessed by all. There are three of these COF, namely: Louise-Botha, Empire Path and Turffontein. The Louis Botha corridor goes from Johannesburg inner city to Sandton, the Empire Path begins from the inner city end of the Louis-Botha corridor and extends to Soweto, and the remaining one is the Turffontein corridor, (refer to figure 7).

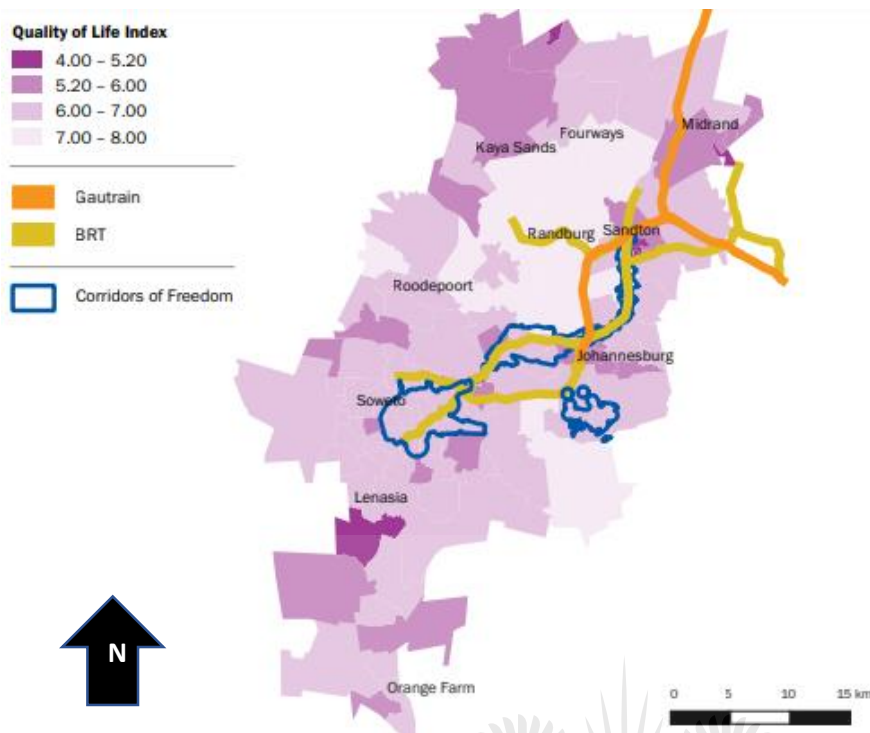


Figure 7: Corridors of Freedom

Source: Pieterse and Owens

b) Convention of abandoned buildings

The convention of abandoned buildings to develop social housing was introduced in 2019, by the former mayor of the CoJ, Herman Mashaba, as stated by a CoJ official. In June 2019, it was reported that 37 abandoned factories were identified in Johannesburg in order to be converted to social housing, (Staff Writer, 24 June 2019). The factories identified are situated in areas like Devland, Rabie Ridge, Doornfontein, Booysens and Nancefield, which are areas with housing need. These properties were said to offer close to 3000 housing opportunities when convention has been completed.

c) Mega human settlements projects

Mega human settlements projects is an economic investment worth R100 billion, with an aim to provide over 800 000 houses in 30 residential developments located in Gauteng's five development corridors, namely: the Central Development Corridor located in the City of Johannesburg, the Eastern Development Corridor falling within Ekurhuleni, the Western Development Corridor anchored on Tshwane, the Western Corridor in the West Rand district, and the Southern Corridor located in the Sedibeng district, (GDHS, n.d). A GDHS official stated

that some of the mega projects located in the Central Development Corridor includes Alexandra and Lanseria Airport City.

4.6 Transformation of human settlements from 1994-2014: Research Question 1.2.4

Transforming human settlements means achieving integrated human settlements that are equitable and have efficient space, and that enable people to live closer to their work places where they have access to social facilities and other necessary infrastructure, (NPC, 2012). Minnie (2017) suggest that human settlements can be transformed through land assembly and space economy. He defines space economy as an economy that consist of regions as nearby places that share mutual markets or resources, and the factors of production such as labour, land markets and infrastructure platforms. This space economy is significant in redistributing economic opportunities and amending economic inequality and income disparities. The NDP in its chapter 8 also talks about the transformation of human settlements in conjunction with space economy.

According to a GDHS official, land is a very crucial element in rectifying and integrating the dispersed settlement pattern of the apartheid, and in developing spatially transformed and inclusive urban areas. Woodbury (n.d), is of the opinion that if the development of housing is to be successful it must be planned on a large scale and a large area of land must be available or else the project will run a risk of being a failure. This should be done to allow planners and architects to provide pleasant houses and still be left with enough space for providing amenities such as schools, health care centres and recreation facilities.

The NPC (2012), states that the transformation of human settlements can be made more effective by firstly addressing the weak points of human settlements, housing policies and programmes. In addressing these weakness the NDP suggest that the following actions be taken by the SA government: to respond systematically to the fragmented spatial pattern of the country so as to address social inequality and economic inefficiency; avoid a one size fits all approach in dealing with rural and urban areas and consider both areas' different needs and potentials especially in terms of development corridors before taking decisions; use housing delivery as a means of restructuring cities and towns and review housing policies to realise the provisions of the constitution in terms of providing housing; promoting citizens engagement and incentivizing through various interventions. These incentives include the establishment of social compacts; the development of normative principles to lead human settlements planning

and to ensure the creation of liveable, equitable, sustainable, resilient and efficient spaces and also to support local economic development and social cohesion, (DHS, n.d).

Another important factor in transforming human settlements is to reshape them, stated a CoJ official. It has been proposed in the NDP that the government of South Africa take the following actions in order to reshape human settlements: address inequalities in the land market that restricts poor people from accessing the city's infrastructure and opportunities; adopt new stronger mechanisms that will form efficient and equitable urban forms in cities and towns; develop housing and land policies that will accommodate various types of households types; and ensure that municipalities prioritise economic development and the creation of jobs.

4.6.1 Progress made in housing delivery

According to a GDHS official, remarkable progress has been made by the South African government since the inception of housing delivery in 1994, resulting to over 4 million households having access to free housing.

4.6.1.1 Progress in SA as a whole

According to the 20 Year Review, the government of SA and the private sector managed to deliver 5 677 614 formal houses between 1994-2014, resulting in 77.7% people living in formal housing in 2011 whereas in 1996 only 64% lived in formal housing. When looking at completed units and serviced sites alone the NDHS (2016) Annual Performance Plan 2015/16 shows that 3 738 818 housing opportunities were provided from 1994-2014. The increase in the formal housing market reached a collective value of approximately R4.036 trillion by 2014. Over 5 million houses have been delivered from 1994 till present, and new townships were established such as Cosmo City located in Johannesburg, as stated by a GDHS official.

Year	Serviced sites completed	Houses/units completed	Total housing opportunities
1994/1995		60 820	60 820
1995/1996		74 409	74 409
1996/1997	129 193	129 193	129 193
1997/1998		209 000	209 000
1998/1999	12 756	235 635	248 391
1999/2000		161 572	161 572
2000/2001	19 711	170 932	190 643
2001/2002		143 281	143 281
2002/2003	82 286	131 784	214 070
2003/2004	42 842	150 773	193 615
2004/2005	87 284	148 253	235 537
2005/2006	109 666	134 023	243 689
2006/2007	117 845	153 374	271 219
2007/2008	82 298	146 465	228 763
2008/2009	68 469	160 403	228 872
2009/2010	64 362	161 854	226 216
2010/2011	63 546	121 879	185 425
2011/2012	58 587	120 610	179 197
2012/2013	45 698	115 079	160 777
2013/2014	48 193	105 936	154 129
2014/2015	49 345	94 566	143 911
2015/2016	52 411	99 534	151 945
Total	1 005 299	3 029 375	4 034 674

Table 4: housing delivery between 1994 – 2016 in SA

Source: NDoH Annual Performance Plan 2015/16

As mentioned, from 1994- 2014 a total of 3 738 818 housing opportunities were provided, and by 2016 the total number of housing opportunities provided increased to become 4 034 674 houses, (DHS, 2016). Table 5 below shows a breakdown of the housing types provided from 1994 to 2015 in SA.

Housing type	Number
Community Residential Units (CRU)	68 640
Social/Rental/Institutional Units	121 784
FLISP	6 329
RDP/BNG units	2 806 235
Serviced sites	986 608
Enhanced Extended Discount Benefit Scheme (EEDBS)	360 000

Table 5: Types of housing opportunities delivered from 1994-2015

Source: DHS, 2016

According to a CoJ official, there has been remarkable transformation or change in the spatial pattern of the country as compared to what it was during the apartheid era. Housing delivery has evolved and through the change in progress and policies related to housing provision much work has been done. Human settlements were developed and have over the years transformed to include the concept of sustainability and integration, and through these concepts the spatial pattern is slowly but surely becoming integrated as the delivered human settlements are integrated on their own in terms of income groups, race, and housing typologies, as stated by a GDHS official.

4.6.1.2 Progress by province

Since 1994, majority of the houses delivered by the government are located in the Gauteng province, except for the period 2002/03 where the Eastern Cape province saw large delivery of housing, stated a GDHS official. This is mainly because the economic hub of the country is located in the Gauteng Province of which is also a reception area for people coming from abroad, according to a CoJ official. Table 6 below shows housing delivery from 1994 to 2004 per province.

Provinces	1994/95 – 1998/99	1999/2000	2000/2001	2001/2002	2002/2003	2003/2004	Total
Eastern Cape	63 393	20 345	34 021	10 816	58 662	27 119	214 356
Free State	48 434	7 177	16 088	7 005	9 155	16 746	104 605
Gauteng	185 333	45 384	38 547	46 723	24 344	49 034	389 365
KwaZulu Natal	149 126	28 997	28 547	14 379	24 485	33 668	279 202
Limpopo	49 750	12 401	20 996	16 667	14 953	15 810	130 577
Mpumalanga	47 595	4 808	16 457	14 584	21 649	21 232	126 325
Northern Cape	13 821	2 600	4 148	2 588	6 056	3 787	33 000
North West	60 631	12 944	14 109	13 885	23 784	10 484	135 837
Western Cape	103 730	26 916	17 730	16 634	20 500	15 735	201 245
Total	721 813	161 572	190 643	143 281	203 588	193 615	1 614 512

Table 6: Completed houses from 1994 to 2004 by province.
Source: Trends in intergovernmental finances 2000/02-2006/07

4.6.1.3 The transformation of human settlements in the City of Johannesburg.

Prior to the introduction of the COF and at the early stages of the implementation of the RDP, Johannesburg was characterized by urban sprawl, spatial fragmentation, spatial disconnections, limiting densities and land use diversity, and spatial inequality, (CoJ, 2016). When the COF were introduced the city started being stitched together and saved a lot of residents' time because initially they spent most of their time commuting to and from work in the city as a result of being located on the edges of the city, stated a CoJ official.

The COF saw the development of mixed land uses ranging from offices, health care, education, recreation and residential along the Rea Vaya BRT lines and around their stations, which meant most residents could live, work and play in the same space without commuting and for those that were still residing in the city edges it meant they could spend less hours on the road due to the efficiency and reliability of the Rea Vaya BRT as it travels on its own dedicated lanes to avoid being stuck in traffic, stated a CoJ official.

The official added that, human settlements in the city have been transformed through projects such as mega human settlements, COF and government housing programmes (such as the ones mentioned in the subsection of formal housing delivery mechanisms and methods). A comparison of the 1996 and 2011 census reveals the increasing dominance of detached dwellings on separate stands, from 325 446 in 1996 to 764 237 in 2011 making a total change of 438 791 households living in brick/detached structure on separate stand, of which is the biggest change when compared to other housing typologies. This has been reinforced by subsidized housing programmes introduced by the government after 1994 known as the RDP housing, (refer to table 7 below) (Harrisson, 2014). The table also shows increase in formal accommodation structures as well as informal settlements.

Dwelling typology	1996 population census		2011 population census		change in number of households
	No. of households	% of households	No. of households	% of households	
House or brick on separate stand	325 446	45.3	764 237	53.3	438 791
Traditional dwelling	3 098	0.4	5 684	0.4	2 586
Flat in block of flats	80 843	11.2	144 468	10.3	63 625
Townhouse/cluster/semi detached home	47 292	6.6	143 395	10.0	96 103
House/flat/room in backyard	87 903	12.2	95 501	6.7	7 598
Informal dwelling/shack in backyard	57 969	8.1	123 977	8.6	66 008
informal dwelling/shack elsewhere	94 480	13.3	125 788	8.8	30 308

Table 7: Change in dwelling types numbers in Johannesburg 1996-2011

Source: Harrison et.al, 2014

The city has managed to complete a variety of housing projects in the period 1994-2014 ranging from integrated housing developments such as the Fleurhoff integrated housing development to mega human settlements projects and social housing, stated a CoJ official. It has managed to transform human settlements through mixed use developments, increased density, infill development and increased connectivity. Figure 8 below shows the growth in spatial pattern in the CoJ based on the development of suburbs from 1950 to 2012, which also shows that the city is becoming connected due to the integration of neighbourhoods/suburbs through infill development and in some cases increased density.

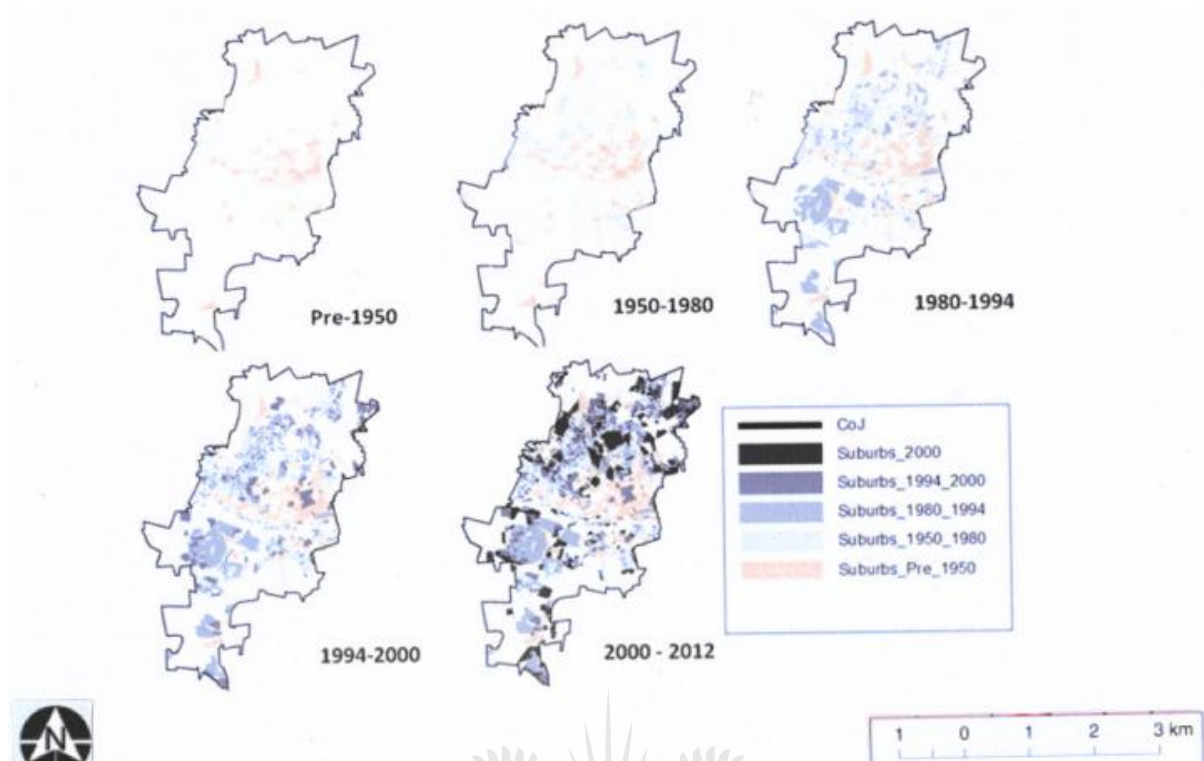


Figure 8: Growth spatial pattern in CoJ
Source: CoJ, 2016

4.6.1.3 Completed housing/human settlements projects

Some of the completed housing projects thus far includes the ones discussed below, others include Lufhering housing project, Braamfischerville RDP houses, Alexandra Renewal units, Olivenhoutbosch integrated housing development etc.

a) Fleurhof Integrated Housing Development

Fleurhof is situated in between Soweto township and the Florida Suburb. The Fleurhof integrated housing development project (as seen in figure 9) was implemented in 2009 and was aimed at integrating the two areas which both have different backgrounds in terms of income brackets and quality of life, according to a CoJ official. The project can also be regarded as an infill development as it took place on land that was used for mining before and is one of the Nation Housing Code programmes (Integrated Residential Development Programme). It is also in line with Housing Act 107 of 1997. It consists of land uses such as residential, recreational, social, municipal, educational and economic, (Khan, 2014).



Figure 9: Fleurhof Integrated housing project
Source: DHS (2017)

b) Cosmo City Integrated Housing Development

The Cosmo City project is an integrated housing development constituting about 12 300 units on 1105 ha land located in the jurisdiction of CoJ, according to a CoJ official. It constitutes of a mix of fully subsidized, credit linked, bonded and social housing for rentals (fully subsidized houses - 5 000, partially subsidized houses – 3 000, fully bonded houses- 3 300, and social rental housing – 1000), (Brand South Africa, 2005). The project has accommodated approximately 70 000 families, it was developed to house Zevenfontein and Riverbend informal settlements residents, (Urban LandMark, 2011).



Figure 10: Cosmo City Integrated housing development
Source: Yusuf Patel

4.7 Making the transformation of human settlements to be more effective.

It has been 25 years into democracy, and South African towns and cities still remain fragmented and segregated resulting in households spending a significant amount of their salaries on transport to get to their places of work and to run their errands, but in some parts of the country progress is seen such as in Johannesburg where BRT is used to integrated various areas within the city and the COF which promotes densification to realise compactness. Policies and frameworks such as the SPLUMA, SDFs etc. have been developed and used by the government as a means of redressing past spatial imbalances and also to achieve compactness as part of the means to make the transformation of human settlements more effective. In terms of housing delivery progress has been made and the focus is now on producing integrated and sustainable human settlements, according to a GDHS official. The scarcity of well-located land remains a stumbling block in realising integrated and sustainable human settlements.

The headings and subheadings contained in this chapter shows how data has been grouped into themes in order to respond to the research questions.

4.8 Conclusion

To sum up, this chapter has analysed the research findings using the thematic analysis method. It set the scenario by discussing housing in general in the COJ and continued to discuss what causes housing backlog in the country (SA) and in the CoJ as well as the impacts of this backlog in the city. It followed by discussing the reasons behind the shift from housing to human settlements and the change of housing policies and programs by the SA government. It then discussed the programs and mechanisms of housing that are in place in the country and the programmes used by the CoJ in transforming human settlements. The chapter also showed the progress made in housing delivery by the country as a whole and also provided a break-down of houses provided per province.



Chapter 5: Recommendations and conclusion

This chapter primarily concludes the research report, it consists of a summary which summarizes what study is all about and depicts how the research objectives set in chapter 1 have been realized; a conclusion which sums up the study; and recommendations of areas of research that other researchers interested in the housing and human settlements field look at.

5.1 Summary

There are various stakeholders which plays different roles in providing housing in the City of Johannesburg, these stakeholders ranges from the NDHS, the GDHS and its agency (HDA), SHRA, CoJ Metropolitan Municipality and JOSCHO. The NDHS is responsible for providing funds for the development of human settlements while the GDHS's role is to facilitate and steer housing/human settlements projects working together with one of its agencies (the HDA) that is responsible for acquiring and preparing land for the development of human settlements. SHRA is responsible for promoting the development of social housing.

City based policies that are in line with National and Provincial policies relating to human settlements and housing were developed. Such policies include the SDF which caters for Housing Development, housing chapters in the IDP, Municipal By-laws, as well as the Inclusionary Housing Policy that received approval in 2019. The Inclusionary Housing Policy compels private developers to dedicate 20% of their social housing development to the low income group.

a) Causes of Housing Backlog in CoJ: Research Objective 1.4.1

Housing backlog in the CoJ can be blamed to factors such as unemployment, urbanisation, migration and population growth. According to the city's IDP youth unemployment in the city is 40% with approximately 150 000 people earning no monthly income while closer to 300 000 people earn R 3 201 and below which means they depend on the government for housing. Johannesburg is the economic hub of South Africa and has been growing/urbanising since 1996, this growth comes with a need for housing. The city's SDF reveals that during the apartheid era urbanisation was suppressed through the use of legislation.

The CoJ constitutes of migrants from within and outside South Africa, majority of these migrants are from other countries while those from within SA mostly come from Limpopo and

KwaZulu Natal. Migration also perpetuates the need for housing. The city's population doubled in 2016 from 2.5 million people in 1996 due to migration and urbanisation.

b) The change of policies/programmes from housing to human settlements by the South African government: Research Objective 1.4.2

Reports and policy documents revealed that the democratic government saw a need to provide houses for the poor after it took over SA from the apartheid government in 1994. Discussions were held with different stakeholders in housing and consensus was reached which led to the development of the White Paper on Housing of 1994 and programmes such as the RDP and GEAR were born. In 1996 housing became a basic right and that is noted down in the Constitution of the Republic of South Africa.

Since housing provision was a new concept, there were challenges with the houses that were provided. The whole concept of housing delivery evolved and in 2009 the department responsible for housing provision which was known as the Department of Housing then, changed to become the Department of Human Settlements and the focus shifted from focusing on providing a housing structure into the provision of integrated and sustainable human settlements.

The change of policies/programmes by the SA government happened in three periods, namely: first period (1992 – 2003), second period (2004 – 2009), and third period (2012 – 2013). In the first period the following policies and programmes were introduced: The Constitution of the Republic of South Africa, the White Paper on Housing (Act No. 107 of 1997), and the RDP. During the second period the Comprehensive Plan for the development of Integrated and sustainable human settlements, FLISP, Social Housing Act (Act No. 16 of 2003), Rental Housing Act of 1999, and the National Housing Code were introduced. In the last period (third period) the National Housing Code was revised and the NDP was developed.

c) Methods used to transform human settlements: Research Objective 1.4.3

There are formal mechanisms and methods in place for the transformation of Human Settlements, some were developed by national government, others by local governments and local government (local municipalities). The number one mechanism is the NDP which states that human settlements must be transformed by 2040, it also lists actions that must be taken. The other methods include: National government (RDP/BNG, UISP, PHP, CRU, IRDP, USDG and FLISP); Gauteng Provincial government (Backyard Rental Programme, Mega Human Settlements Projects); and Local government (CoJ) (COF), conversion of abandoned buildings, and inclusionary housing).

d) The transformation of human settlements from 1994 to 2014: Research Objective 1.4.4

Human settlements have transformed in the CoJ, initially the focus was on the provision of housing structures and shifted over the years to be on the creation of integrated and sustainable human settlements which includes mixed use development striving to integrate various income groups and races and in turn ensure diversity. Housing is now located in close proximity to amenities, facilities and infrastructure and is connected to nodes through public transport.

There is integrated public transport in place which provides various modes of transport such as the Gautrain, metrorail trains, metro buses, Rea Vaya BRT, and minibuses. Much progress has been made in the delivery of houses, over 4 million houses have been provided in the entire country, in the Gauteng province approximately 1 227 729 houses were provided by 2016 while between the period 1994 – 2004 389 365 houses were provided. In CoJ projects like mega human settlements, CoF etc. played a huge role in the transformation of human settlements.

The headings contained in this sections depict how the research objectives set in the first chapter have been realised.

5.2 Conclusion

The aim of the study was to investigate how human settlements have transformed in the City of Johannesburg Metropolitan Municipality. The study discovered that human settlements have transformed tremendously in the city, this transformation also led to the establishment of new townships such as Cosmo City. Human Settlements have transformed as a result of the goals

and objectives the South African government has set in terms of achieving integrated and sustainable human settlements. The mechanisms employed to transform human settlements includes the Corridors of Freedom, Mega Human Settlements Projects as well as national housing programmes such as BNG housing subsidy, CRUs, IRDP etc.

The research questions that were formulated were based on the following: root cause of housing backlog in CoJ, motivation for the shift from housing to integrated human settlements by the South African government, the methods used to transform human settlements in CoJ, and the evolvement of human settlements in CoJ from 1994 to 2014. The research objectives included the following: to find out the causes of the housing backlog in the City of Johannesburg Metropolitan Municipality, to find out the reasons behind the change of policies/programs from housing to human settlements by the South African government, to investigate which methods are used to transform human settlements in the City of Johannesburg, and to evaluate how human settlements have transformed in City of Johannesburg from 1994 to 2014.

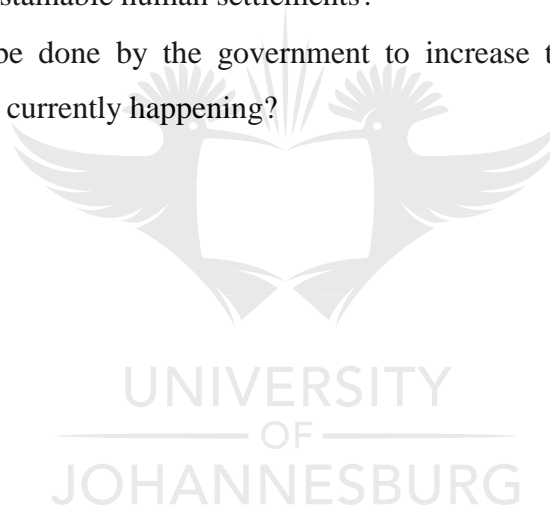
The causes of housing backlog in CoJ including urbanisation, unemployment and population growth. When the democratic government first started providing houses to the South African citizens, the houses provided were too small and denied occupants the right to privacy and the government was more concerned with quantity than it was with quality. Which is one of the reasons why the government saw it fit to move from providing mere houses and start to take factors such as housing adequacy into consideration, hence it changed its name from Department of Housing to the Department of Human Settlements to start looking at providing integrated and sustainable human settlements.

The government uses methods such as UISP, IRDP, CRU etc. to realise the transformation of human settlements as stated in the NDP. The CoJ has programs and projects in place such as the CoF, Mega human settlements projects and the newly introduced project of converting abandoned building in the inner into social housing. All these programs are aimed at transforming human settlements. Human settlements in the CoJ have been transforming and progress has been made in housing provision. There's prevalent change in the present types of dwelling units when compared to the ones that existed at the early stages of democracy, and areas such as Johannesburg inner city, Soweto, Fleurhof and Cosmo City have transformed spatially.

5.3 Recommendations

It was noted from the findings of the study that key challenges that contributes to South Africa's housing backlog are urbanisation, migration and unemployment, and that due to the high number of the housing backlog informal settlements develop as the only form of affordable housing for the low income group and the unemployed. Therefore, it is recommended that future studies in the housing or human settlements field look at the following:

- How can urban migration be controlled and accommodated in the development of integrated and sustainable human settlements?
- What mechanisms can be utilised by the government to raise funds for eradicating the existing housing backlog?
- How can the government reduce the unemployment rate through the development of integrated and sustainable human settlements?
- What needs to be done by the government to increase the pace at which spatial transformation is currently happening?



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